



# SCR 500 Awards COP 27: Banking Industry Top 30

Most committed - Best Media Image - Most recommended  
2015 - 2022

Which banks are offering the most background on their commitment to which SDGs, helping to drive the message of the SDGs to stakeholders including consumers, employees, shareholders, and media?

Award Ceremony UNFCCC Stand Egypt Pavilion Nov 9 2022

UNFCCC - UNSDSN – UNGSII – YKC  
With the support of UNASDG



## Base for this Analysis:

All 748,192 statements published by the SCR stock listed companies for the time 2015-2022 in their legal binding Annual Reports

All 2,47,451 reports in opinion leading media about these companies

All 1,329,680 Analysts quotes in financial media

# This Sustainable Development Goals Commitment Report (SCR) is based on



**500 of the world's largest companies with a combined market cap of more than 25 trillion USD**

**All 769,586 statements** in 500 annual reports issued by these large corporations in 2017 - 2022 were categorized by human analysts.

**All 2,479,451 reports** on these 500 companies from 2001 - 2022 in international business print media (e.g., FT, WSJ, Handelsblatt, etc.) were analyzed.

**All 1,329,680 quotes** from 2001 – 2022 by financial analysts in international business print media on these 500 stocks and more were analyzed.

# Methodology & Benefits of UNGSII Rankings: Creating transparency on the SDG-related disclosures of companies



## SDG/ESG

- UNGSII analysts read and categorize the annual reports of companies and central banks according to direct and indirect references to the SDGs

## Media Impact

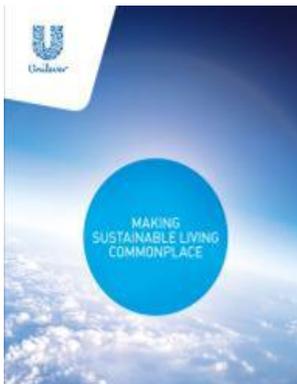
- Analysis of business media and how they report on these companies
- Direct/indirect references
- Compare journalists/other stakeholders vs. analysts

## Analysts Impact

- Analysis of analyst quotations in key financial publications (WSJ, FT, etc.).
- Perception of financial and non-financial value drivers

## Performance

- Stock prices
- Bond prices
- Sales
- Net Pro Score™
- Employer rankings



**UNGSII**  
Accelerating the financial impact of the SDGs

Creating transparency for investors, customers, and civil society

Supporting informed decisions

Enhancing the relevance of corporate reporting

Helping businesses to manage their reputation

# Introduction: SDG visibility is growing explosively, and banks have the opportunity to lead



As companies released their annual reports in 2022, we continued analysis using the same criteria as in previous years. When the results were compared with previous years, the number of statements has risen exponentially.

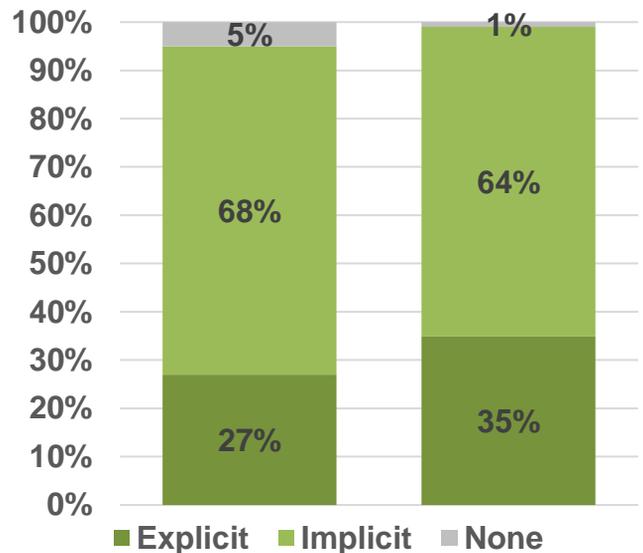
Companies are more vocal on the SDGs in their annual reports due to the positive benefits to company performance and in response to stakeholder interest in corporate responsibility and socially positive behavior. Other drivers of SDG-related information release has been the changing regulatory environment and the pandemic.

This increase in visibility for the SDGs was not, however, consistent across all companies examined or all SDGs. This indicates that some companies are continuing to lead on these issues while others have lagged behind.

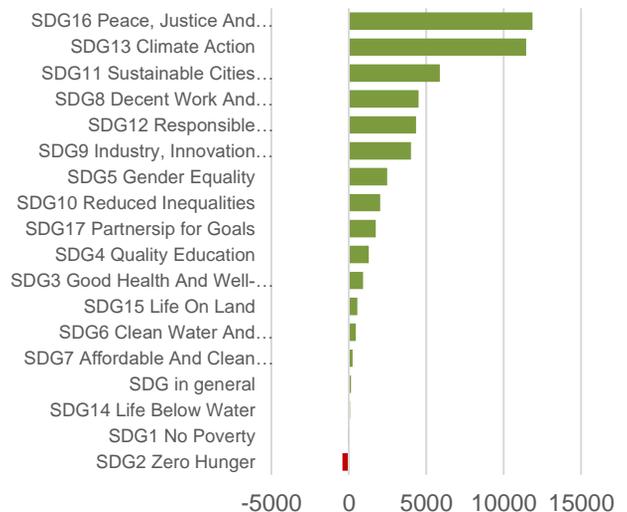
The banking industry in particular has the potential to offer significant impact on the SDGs, both in terms of their own direct actions and in terms of other companies they offer support and services to and investment recommendations in.

This award seeks to recognize those banking firms that have exhibited clear leadership on the SDGs over the last five years.

Share of companies offering SDG visibility



Visibility of the SDGs in the 2022 annual reports compared to 2021



# Evaluation and Scoring: Recognizing performance on the SDGs



To determine which companies deserve recognition for their visibility on the SDGs, we looked at the following factors:

- Average number of statements on the SDGs across analyzed reports
  - 5 points for most statements
  - 3 points for second most statements
  - 1 point for third most statements
- Number of SDGs addressed in annual reports
  - 5 points for those at all 17
  - 3 points for those at 16
  - 1 point for those at 15
- Media tone in opinion-leading media
  - 5 points for positivity on balance over -20%
  - -5 points for negativity on balance past -20%
- Quoted analyst tone on in opinion-leading financial press
  - 5 points for positivity on balance over -20%
  - -5 points for negativity on balance past -20%
- 5 Points for SDGs 1 – 8, 10 – 15, 17 that a company leads in visibility on

The point total of Part 1 will then be multiplied by 75.

Part 2 scoring;

- Performance on SDG 9 (Innovation)
  - 10 points for the most statements
  - 5 points for the second most statements
  - 3 points for the third most statements
  - 1 point for the fourth most statements
- Performance on SDG 16 (Peace, Justice, and Strong Institutions)
  - 10 points for the most statements
  - 5 points for the second most statements
  - 3 points for the third most statements
  - 1 point for the fourth most statements

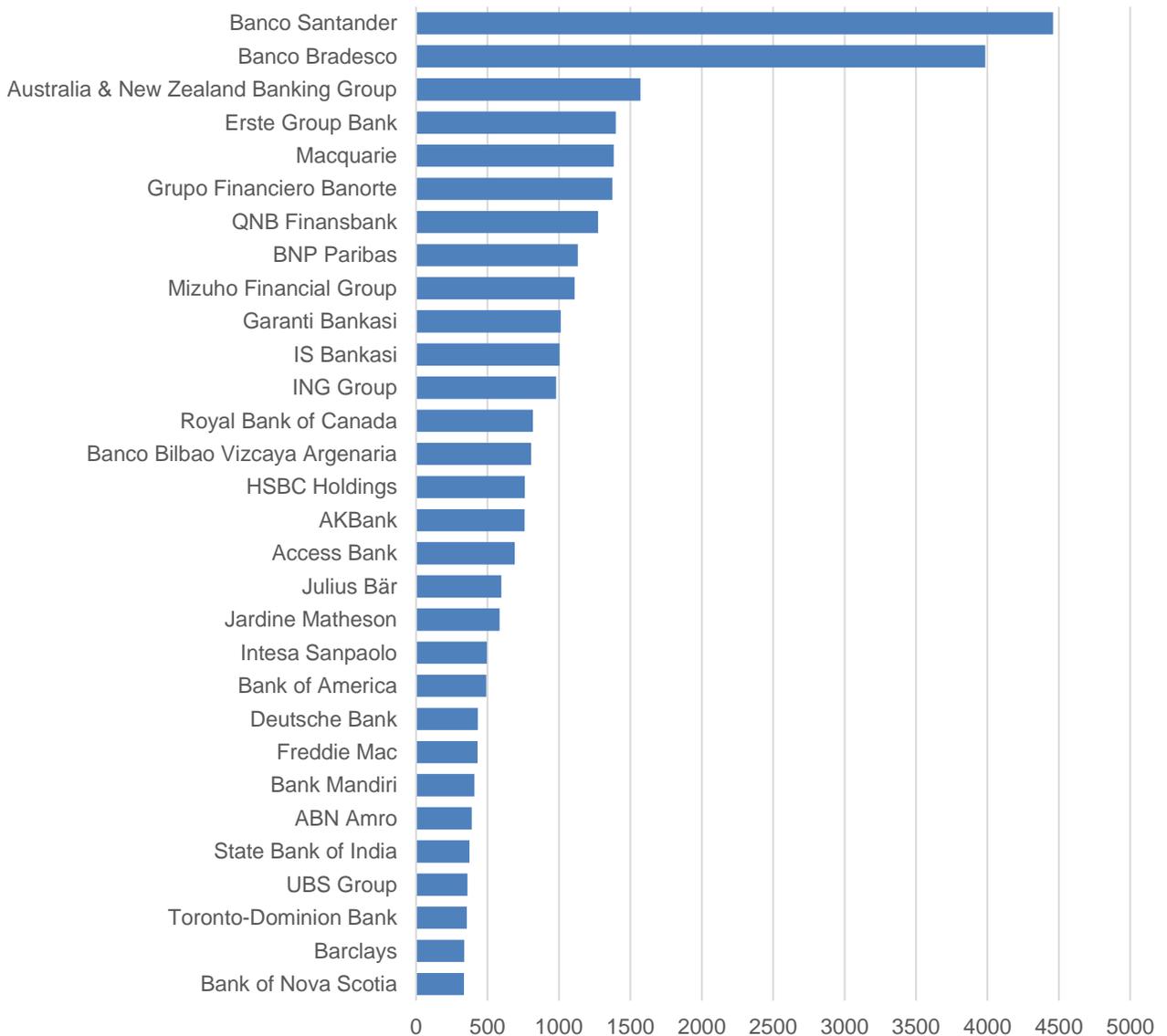
The point total of Part 2 will then be multiplied by 25.

The overall winner is determined by the highest point total when Parts 1 & 2 are combined

# Top performers on the SDGs represent the global nature of banking



Average number of SDG statements across years analyzed



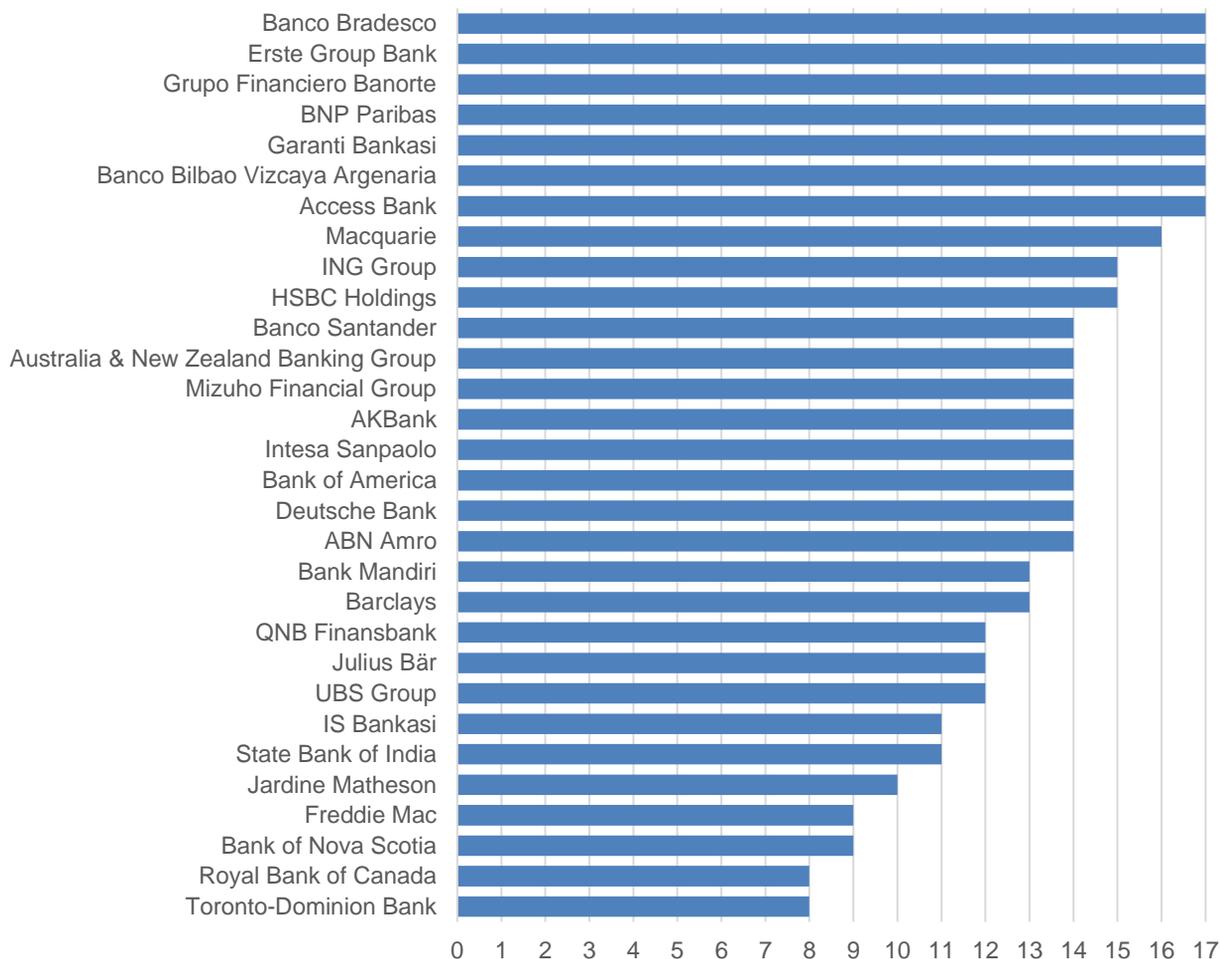
Over the last five years, 65 banks have been analyzed to look at the visibility of the SDGs in their annual reports. Of those 65, the top 30 are represented above for having the greatest average number of statements on the SDGs in the analyzed annual reports.

The range of visibility on the SDGs – for banks and for all industries – remains significant, but clear leaders have begun to emerge.



# Increasingly, banks are discussing all or most of the SDGs

SDG diversity from most SDG communicative companies

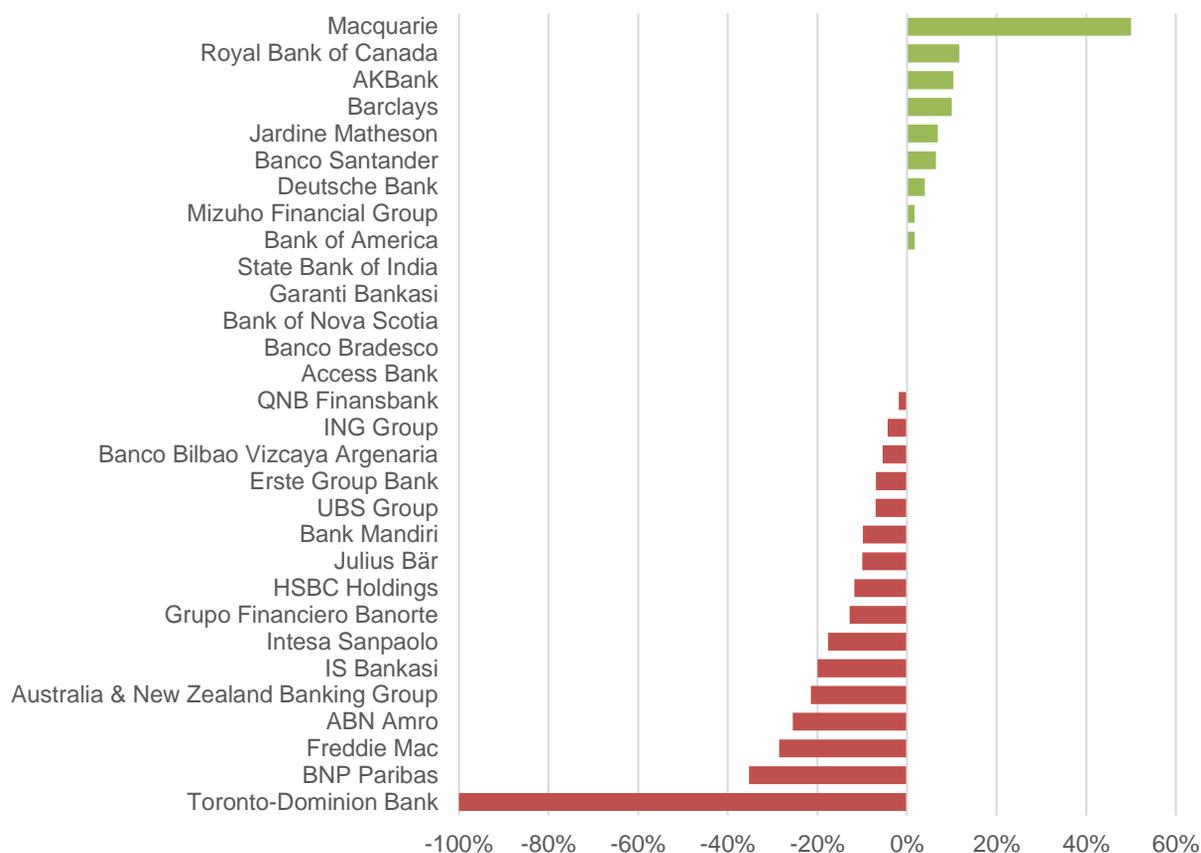


Just because a company talks about the SDGs at a high volume, does not mean they talk about the SDGs broadly. Of the 30 most visible banks, only a few address all the SDGs. Some don't even address half.

Those companies that recognize and address all or most of the SDGs are awarded points for their leadership in understanding that the 17 Goals are interconnected.

# Media reputation is a factor for banks

Media Reputation

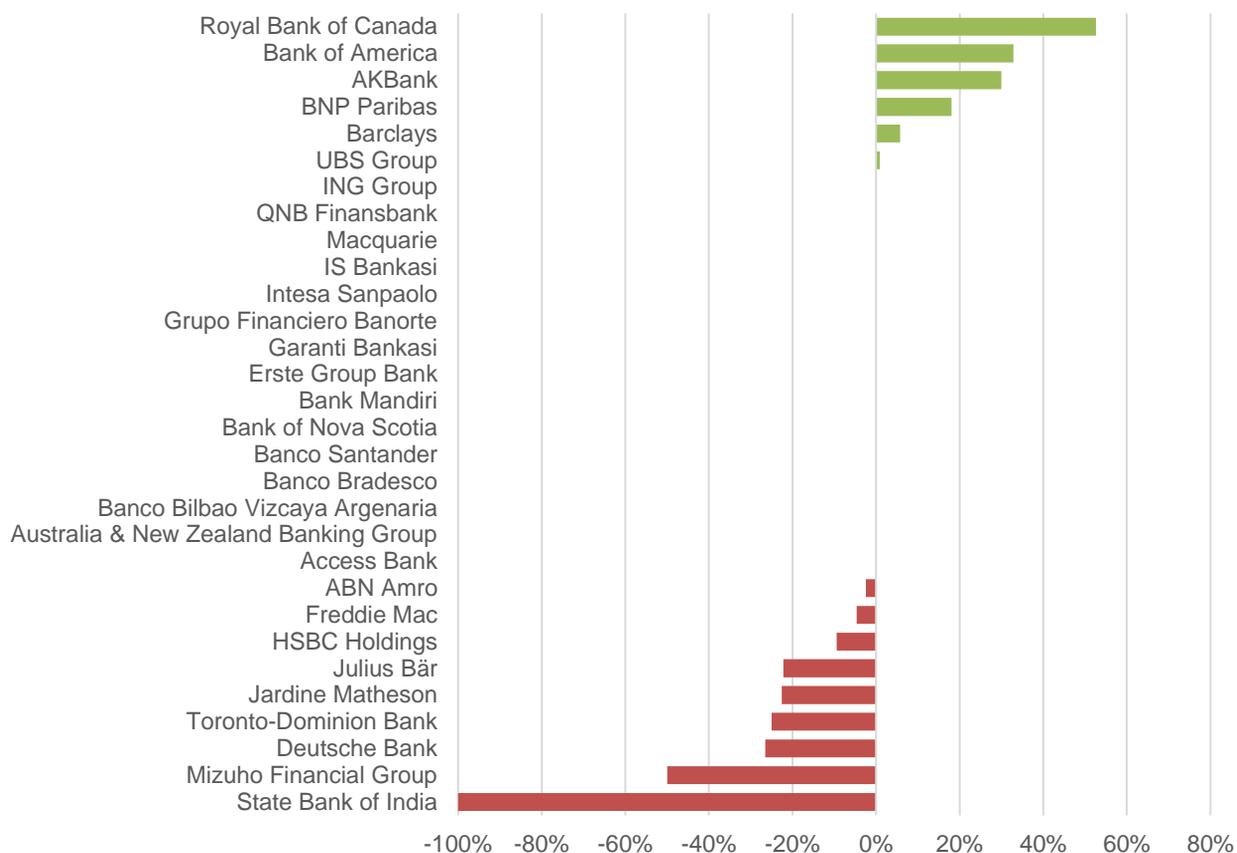


A company's media image is a factor in the SDGs. If a company is receiving ongoing negative coverage, this suggests that the company is not able to effectively be a role model for the SDGs.

Similarly, companies with a positive media image have the ability to be meaningful leaders on the SDGs in a way that encourages others to also adopt this behavior.

# Quoted financial analysts see a different picture

Analyst assessment



Quoted financial analysts also offer a perspective on companies. While they have the ability to comment on how a company interacts with the SDGs, they rarely do.

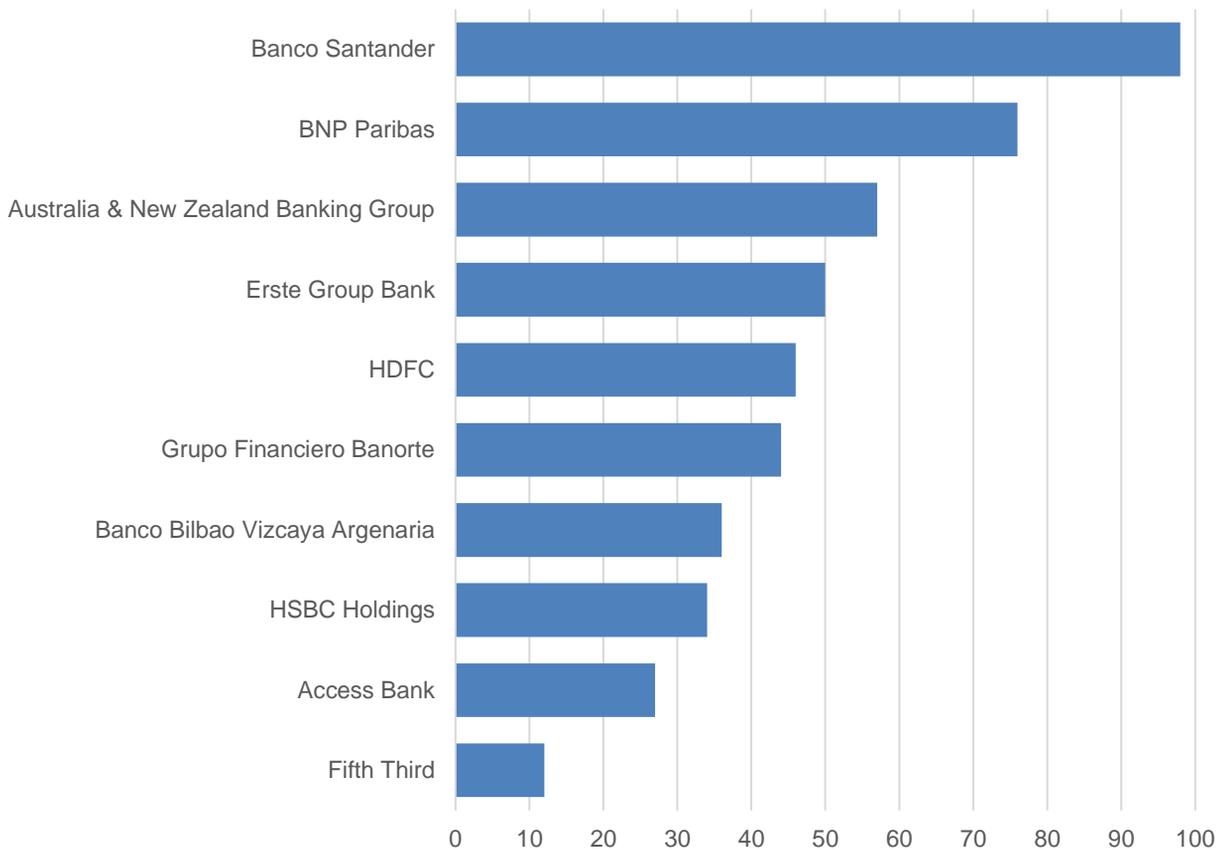
That said, companies that analysts frame as good investments have greater leverage to act as leaders in getting other companies to engage more deeply on the SDGs.



# Santander leads on eliminating poverty



## SDG 1



### Other SDGs on which Banco Santander also has an impact



We want to reduce poverty and boost the welfare and economy of the countries we operate in. Our financial inclusion products and services and community investment programmes empower millions each year.

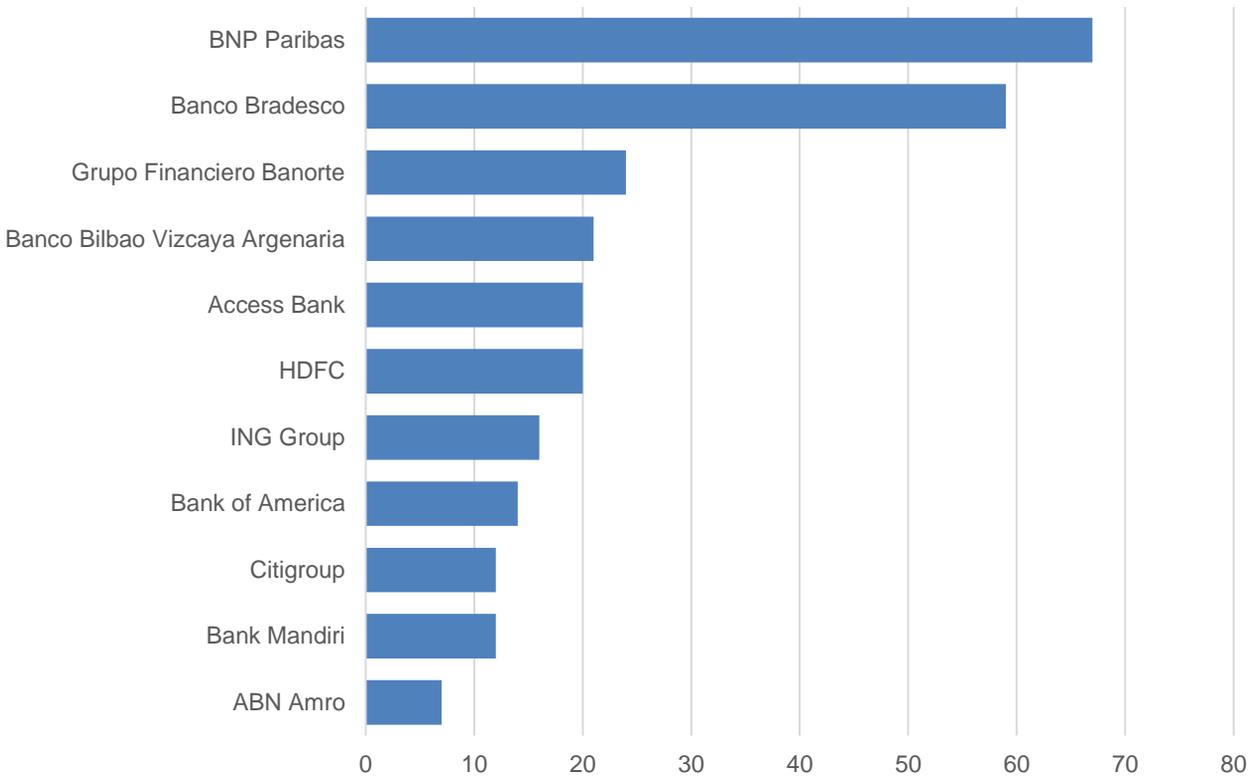




# BNP Paribas leads on addressing hunger



## SDG 2



a **Youth Solidarity Plan** of EUR 500,000 by supporting 14 associations, in direct contact with young people, around three focuses: educational continuity, precariousness, psychological and physical distress.

This Youth Plan has made it possible to respond to societal and environmental alerts and challenges sometimes identified by local teams (example of the Solfa association identified by the Lille teams).

The Foundation was able to react to the new vulnerabilities created by the pandemic, such as the increase in underage prostitution (Solfa), the food insecurity of young people (*Banlieues Santé*), and self-censorship (*Moteur*).

This Youth Plan was used as an impactful tool to consolidate a grid and increase a network that will in part be perpetuated.

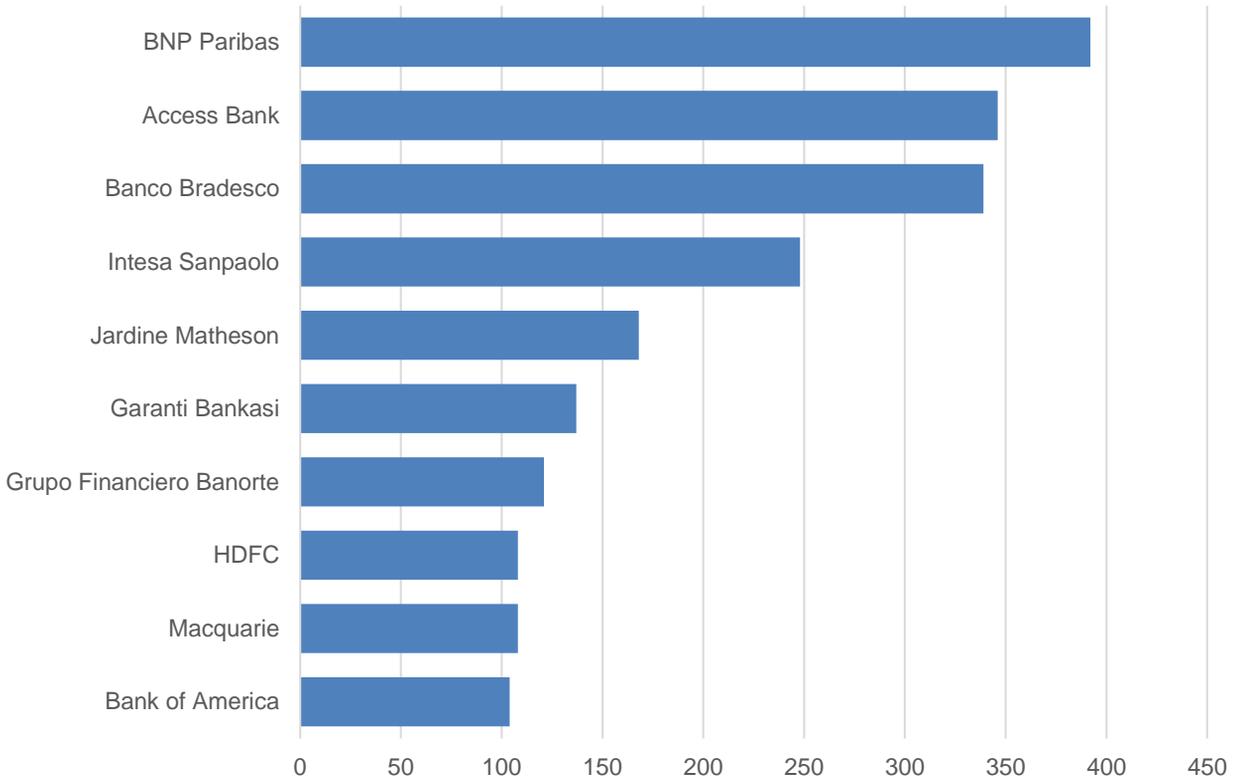




# BNP Paribas focuses strongly on health



## SDG 3



The permanent psychological assistance system, Stimulus Care, available 7 days a week, 24 hours a day, has been extended to cover the entire Group in France. Lastly, conferences (physical activity, sleep, news of the health crisis) and information materials on various topics related to health and well-being, including those dedicated to remote working, food, immunity, mental disorders, sleep, are added to the guides distributed throughout the year: these include "Managing the risk of alcohol in the workplace", "Preventing professional burnout", and "Supporting the return to work after a long absence".

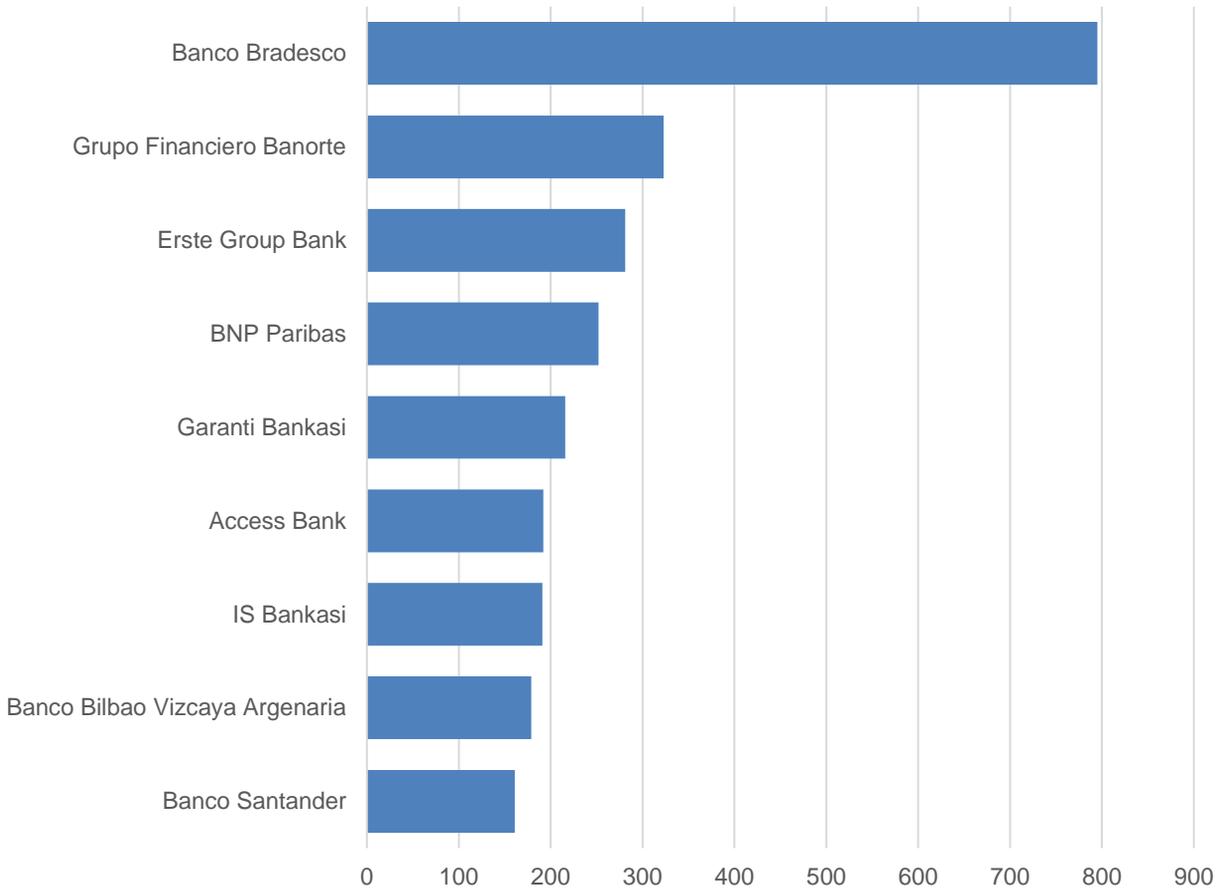
Mental health issues have been compounded by a number of factors (isolation, extreme mental stress linked to the presence of young children, addictions, over-investment in work, etc.). Thus, a wide range of actions aims to support employees (communications by email and on the intranet, digital workshops, conferences, surveys, etc.) with a particular focus on vulnerable or fragile people who have not returned to the site for months.



## Banco Bradesco has a strong lead on education



### SDG 4



65 years ago, we created the **Fundação Bradesco**, the largest private socio-educational investment program in Brazil. In 2021, we invested R\$715 million to serve more than 40,000 basic education students and 2 million people through Virtual School training courses. In this way, we promote inclusion and social development with humanistic education and free, quality education throughout the country, with 40 schools in 27 states.

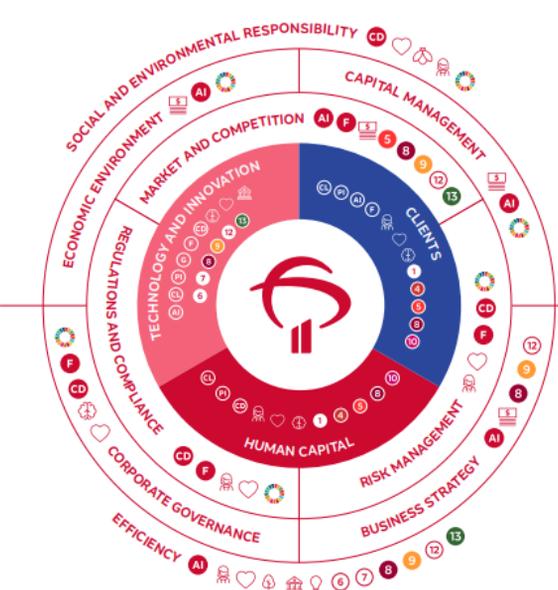
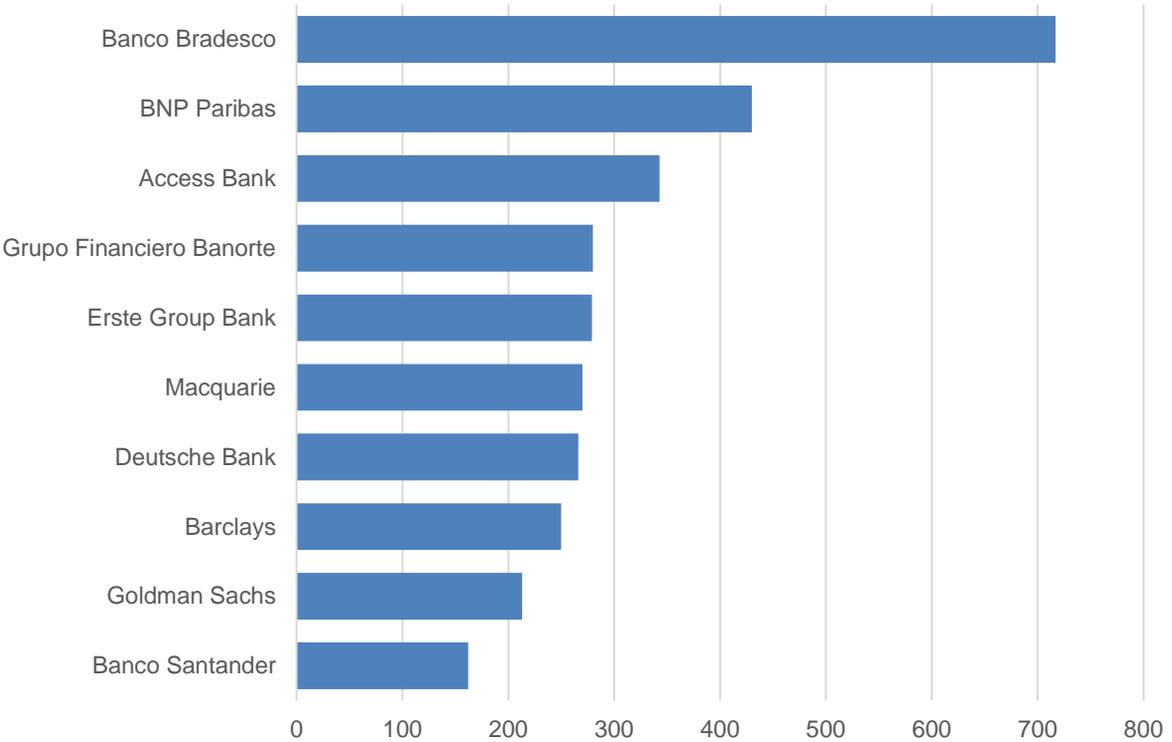




# Bradesco makes a strong statement on gender equality



## SDG 5



- CL** CLIENTS
- PI** INTERNAL AUDIENCE
- AI** SHAREHOLDERS AND INVESTORS

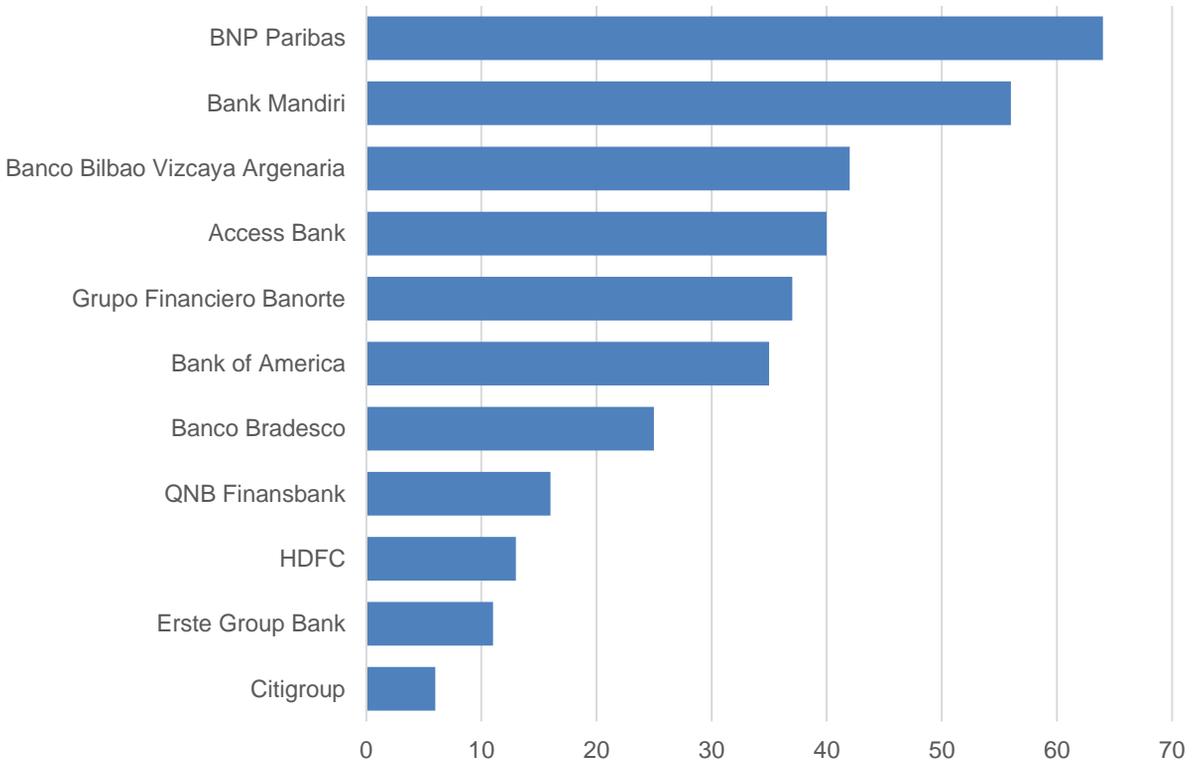
### SDGs

- 1 No poverty
- 2 Zero hunger – sustainable agriculture
- 3 Good health and well-being
- 4 Quality education
- 5 Gender equality
- 6 Clean water and sanitation



# BNP Paribas recognizes the importance of clean water

## SDG 6



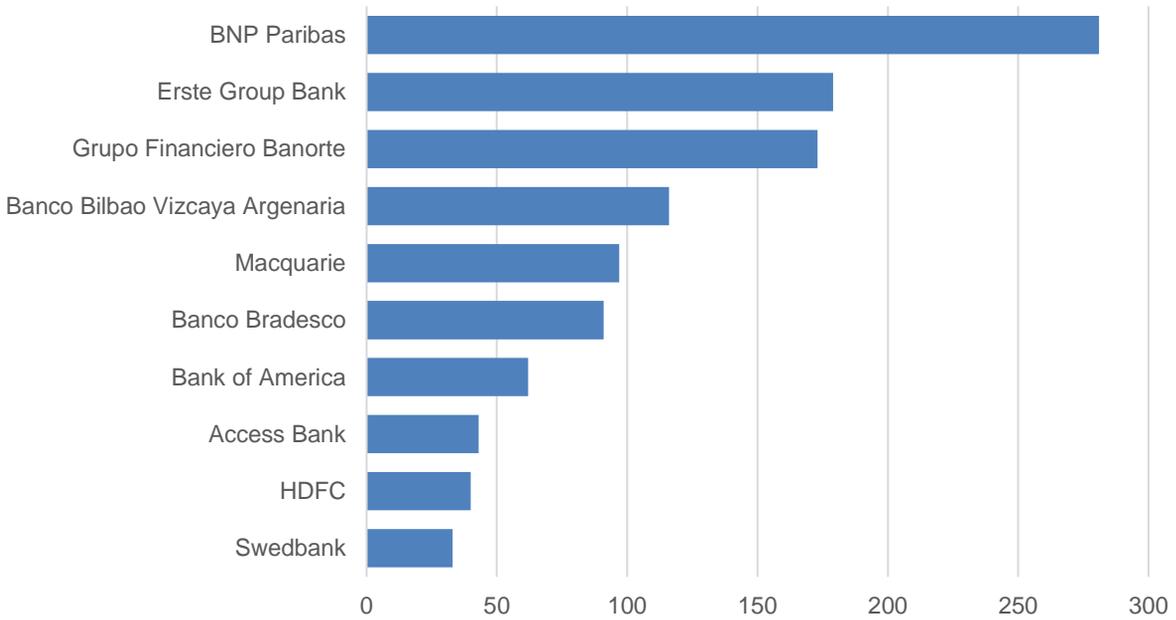
The environmental data used for the indicators included in Commitment 11 are provided by the property management of our own buildings and general resources departments (energy, water, waste), by the departments responsible for procurement (paper and business travel by plane and train) as well as by Arval and Group HR (business travel by car).

To calculate greenhouse gas emissions, the Group uses emission factors from the IEA (International Energy Agency - version 2019).

An internal protocol, reviewed and communicated each year to all employees contributing to this reporting, sets out the framework and procedures for carrying out BNP Paribas' environmental reporting. In 2021, 54 entities received quantified data from Group CSR Function on their consumption and targets compared with those of the Group as a whole, following data collected during the previous environmental campaign. This valuable monitoring tool enables each entity to make improvements so as to achieve the objectives of the environmental performance indicators.



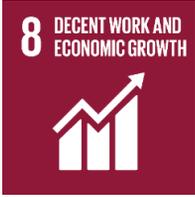
## SDG 7



On the environmental aspect, in support of the energy and ecological transition:

- BNP Paribas has created the Low-Carbon Transition Group, comprising in the long term a total of 250 professionals dedicated to financing the energy transition of its customers;
- the Group is positioned as the 2nd global player in the green bond market according to Dealogic, with EUR 22 billion as bookrunner for its clients;
- BNP Paribas has published a position on the preservation of biodiversity and has set a target of EUR 4 billion in funding contributing to the protection of biodiversity by 2025;
- the Group has strengthened its policy of combating deforestation, particularly in Brazil, which has enabled it to be ranked 1st among 150 financial institutions by the NGO Global Canopy;
- BNP Paribas and Solar Impulse launched a fund of EUR 150 million to support innovative start-ups with high potential in the ecological transition;
- two Group experts have joined the Taskforce on Nature-related Financial Disclosure (TNFD), which aims to provide a framework for financial institutions to better describe their risks, dependencies and impacts on nature. The TNFD was set up thanks to a multi-stakeholder working group co-chaired by BNP Paribas, with work completed in the summer of 2021.

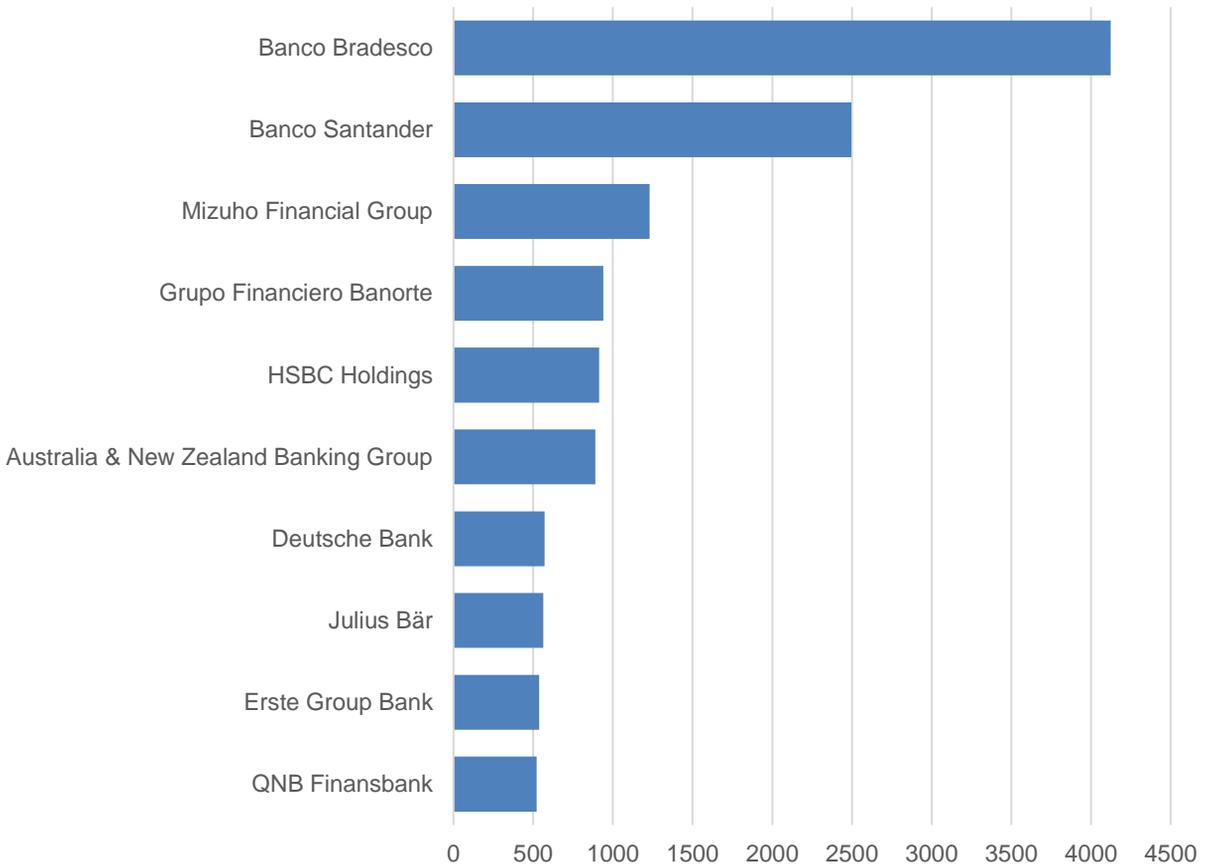




# Bradesco focuses on Decent Work



## SDG 8



**Goal 8.3:** Promote development-oriented policies to support productive activities, create decent jobs, entrepreneurship, creativity and innovation, and encourage micro, small and medium-sized enterprises to establish and grow, including through access to financial services.

**Goal 8.4:** Progressively improve the efficiency of global resources in consumption and production by 2030, and work towards decoupling economic growth from environmental degradation, according to the Ten-Year Plan Programs on Sustainable Production and Consumption, with developed countries taking on a leadership role.

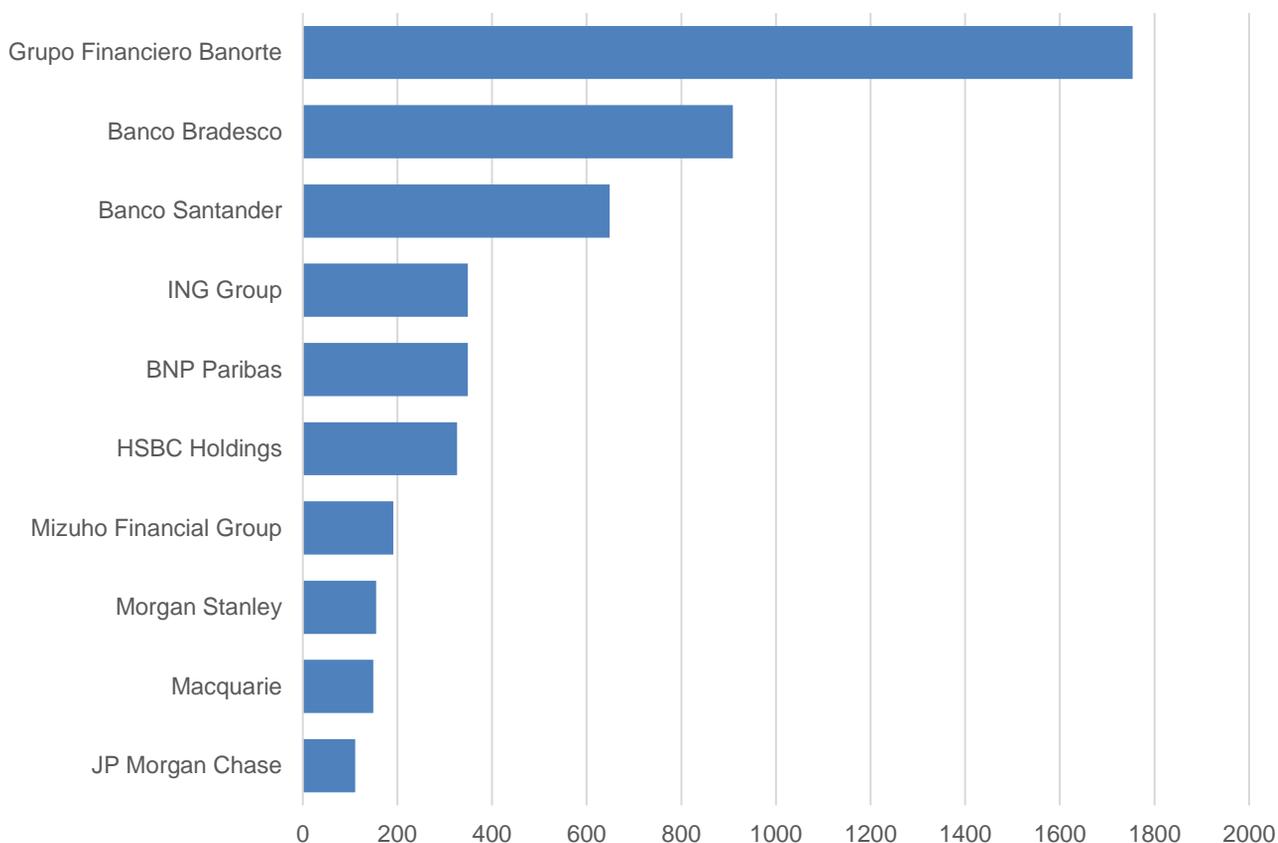
**Goal 8.7:** Take immediate and effective measures to eradicate forced labor, do away with modern slavery and human trafficking, and ensure the prohibition and elimination of the worst forms of child labor, including recruitment and use of child soldiers, and by 2025 end child labor in all its forms.

**Goal 8.10:** Bolster the ability of domestic financial institutions to encourage the expansion of access to banking, insurance and financial services for all people.



# Banorte leads on innovation and infrastructure

## SDG 9



**Banorte has established and will continue to pursue a variety of initiatives and projects to face the most pressing medium-term challenges.**

We remain committed to the growth and well-being of Mexico and our customers, through actions such as continuous innovation, changes in work systems and interaction with our stakeholders through digital and technological transformation; the challenges of climate change through concrete and significant measures in our sustainability agenda; supporting migrants through efficient, secure and low-cost payment methods for transferring their money; and the need to deal with technological change and the problem of inequality through a multitude of measures in support of education and those supported through our foundation. We are convinced that if we work firmly and decisively together with our employees, clients and communities, we can continue our progress toward building a better Mexico.

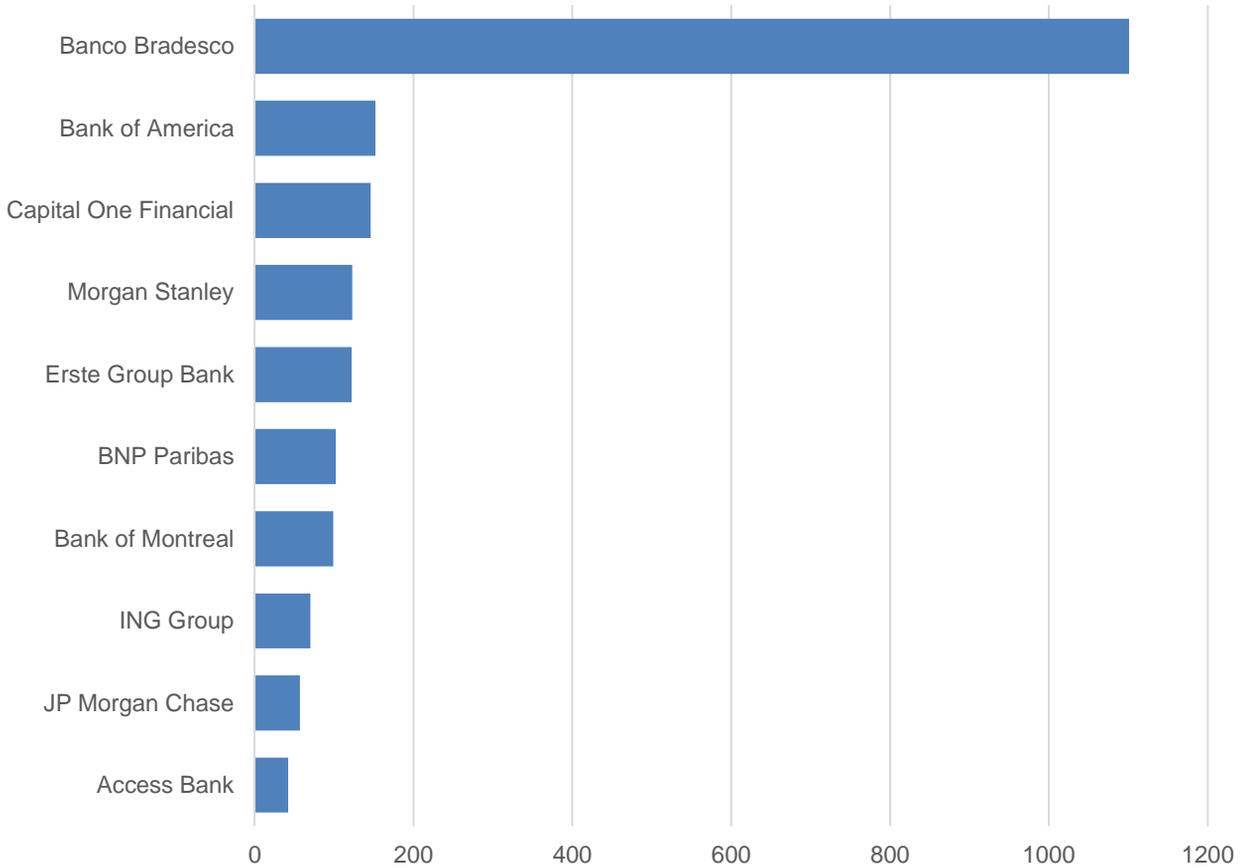




# Bradesco takes the lead on Reduced Inequalities to create a more balanced world



## SDG 10



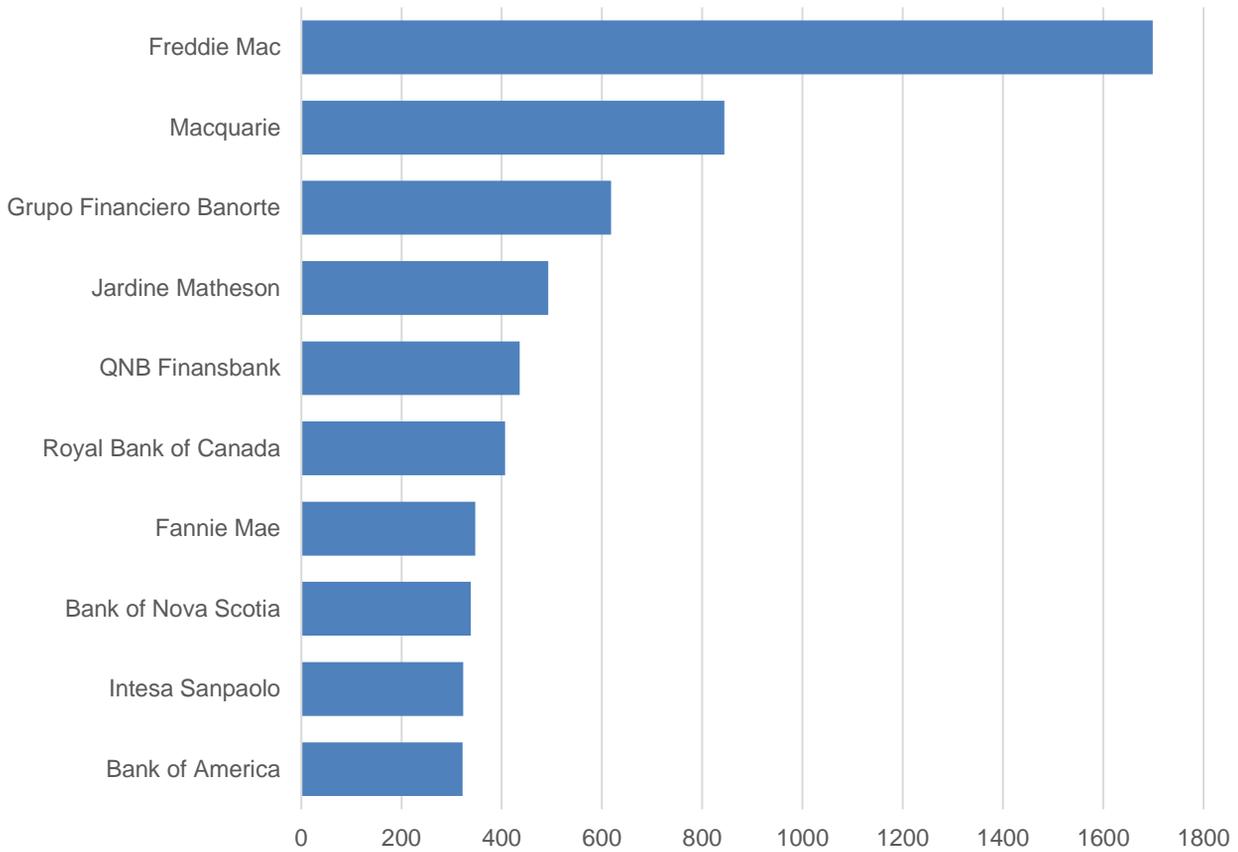
commitments assumed and the results of our work for diversity and inclusion reinforce our belief in the transformative potential of people, respecting individuality and plurality. Inclusion and financial education are essential drivers for us because we impact and transform the lives of thousands of Brazilians through them. Ethical and transparent performance permeates our values. A significant part of our purpose is to contribute to the sustainable development of society, and we work towards ensuring that our Organization is prepared for the challenges that will be posed by a low carbon and inclusive economy.



# Freddie Mac leads on sustainable cities



SDG 11



- Promote access to mortgage loan credit throughout the United States (including central cities, rural areas, and other underserved areas) by increasing the liquidity of mortgage investments and improving the distribution of investment capital available for residential mortgage financing.

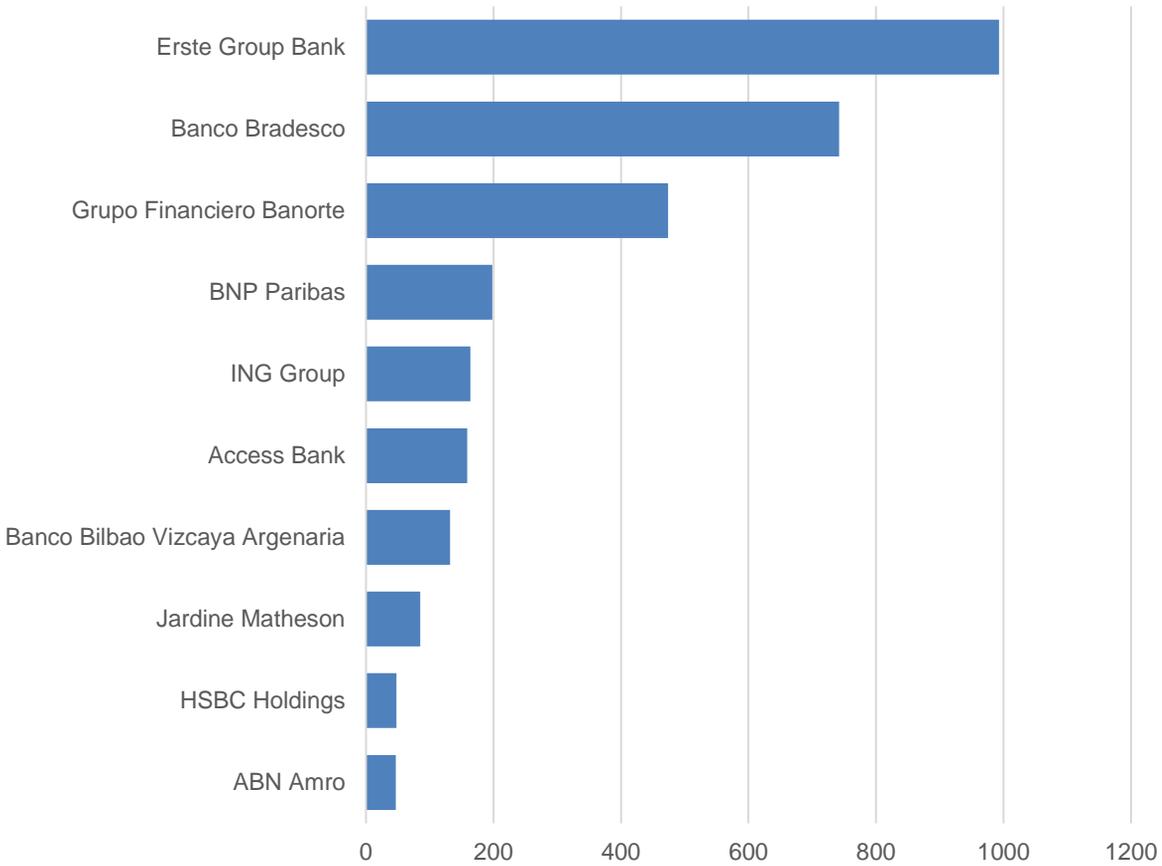




# Erste Group focuses on Responsible Consumption



## SDG 12



In light of the accelerating level of environmental degradation and the urgency of climate change with far-reaching impact on vulnerable parts of the society in the CEE region, Erste Group reshaped its priority ESG objectives in 2021. In the years to come, Erste Group will put particular emphasis on the following United Nations Sustainable Development Goals (SDGs) (here in alphabetical order):

- \_ Affordable housing (SDG 11)
- \_ Climate action (SDG 13)
- \_ Clean water and sanitation (SDG 6)
- \_ Diversity (SDG 5)
- \_ Financial inclusion (SDG 1)
- \_ Financial health and literacy (SDG 4)
- \_ Recycling and waste management (SDG 12)



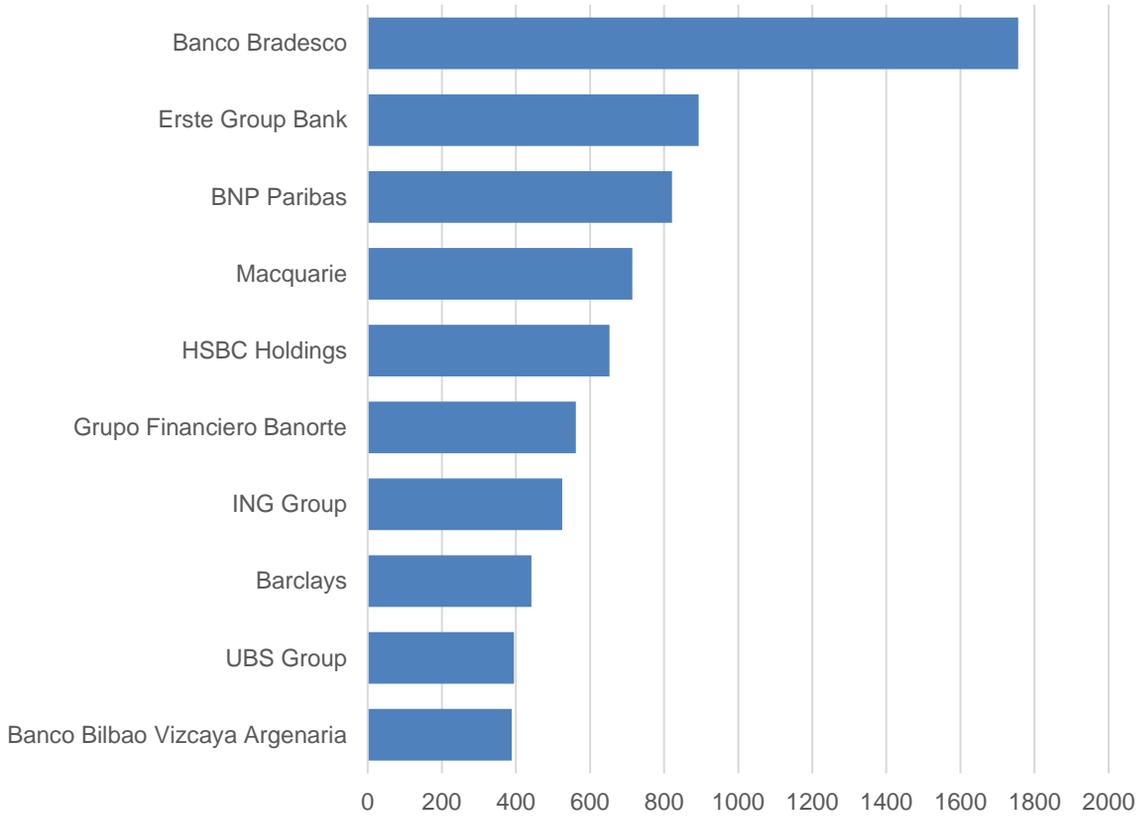
SDGs provide a framework embedded into wider socio-political efforts of the United Nations to ensure sustainable development at the economic, social and environmental level worldwide.



# Bradesco leads on Climate Action



## SDG 13



**The only Brazilian bank in the delegation of the Business Council for Sustainable Development (CEBDS) at COP26, the United Nations (UN) Climate Conference in Glasgow, Scotland**



**Above average assessment by the key environmental, social and governance (ESG) indices and ratings, including the CDP, Dow Jones Sustainability Index (DJSI), Business Sustainability Index (ISE B3), FTSE4Good, MSCI, Sustainalytics and Vigeo Eiris**



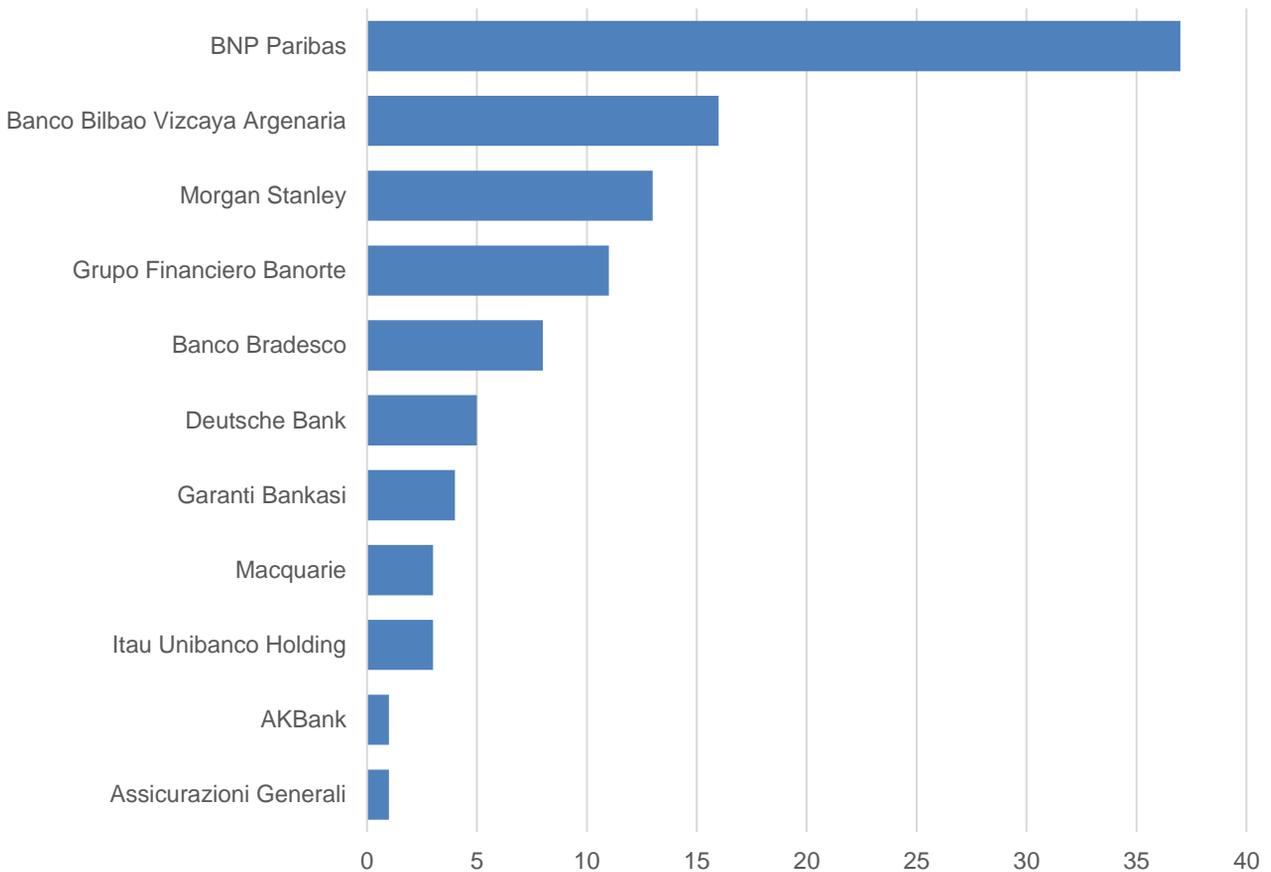
**bradesco**



# BNP Paribas addresses Life Below Water



## SDG 14



- acknowledged of the Bank's achievements in 2020 and the Bank's CSR policy outlook for 2021, under the aegis of the United Nations' 17 Sustainable Development Goals, in particular the Group's commitments in terms of protection of biodiversity;
- reviewed BNP Paribas' membership to the "Net Zero Banking Alliance" in April 2021 and its commitment to achieve a carbon neutral economy by 2050;
- was informed of the Bank's actions in terms of social issues, in particular the actions undertaken in favour of young people and the fight against exclusion, the promotion of respect for human rights in all of the Group's activities and the actions carried out to accelerate social impact investments;
- acknowledged the functioning and strategy of Nickel, one of the Group subsidiaries;

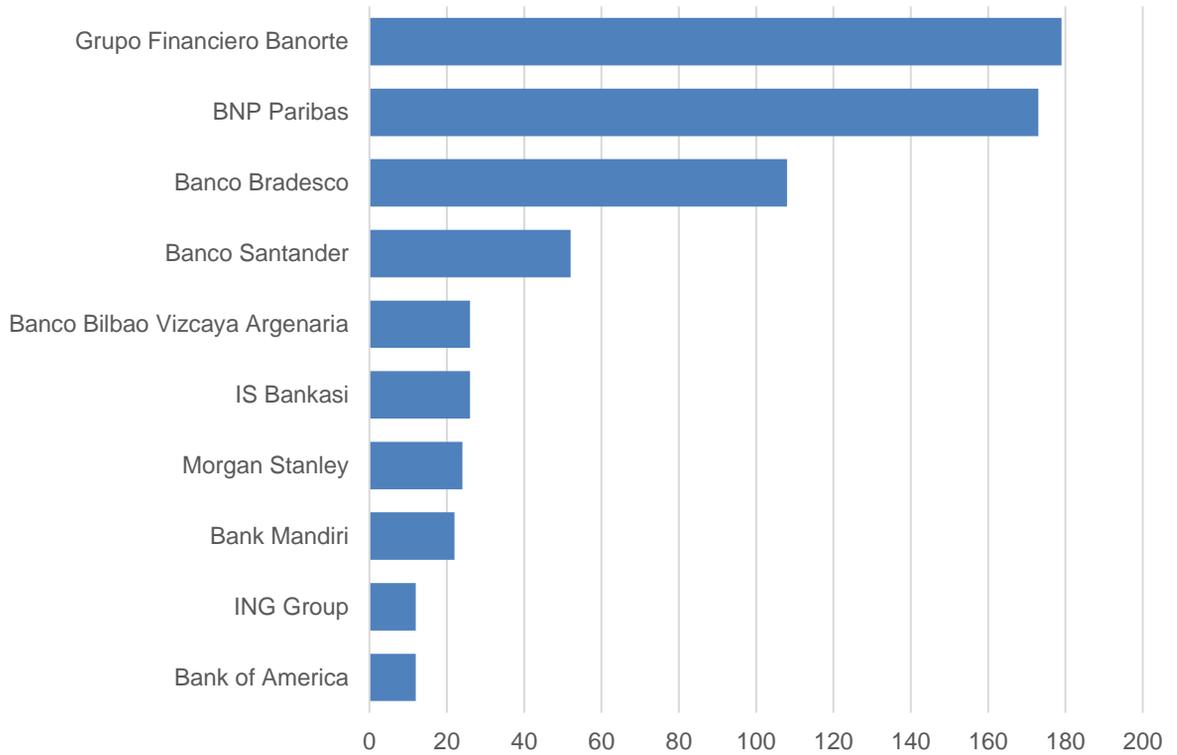




# Banorte has a narrow lead on Life on Land



## SDG 15



Grupo Financiero Banorte was selected once again for inclusion in the **Dow Jones MILA Sustainability Index**.



**Reforestamos México** recognized us for our participation in the "Connecting People and Forests" project, after we incorporated the option to redeem points and adopt trees to our Banorte Total Rewards program.

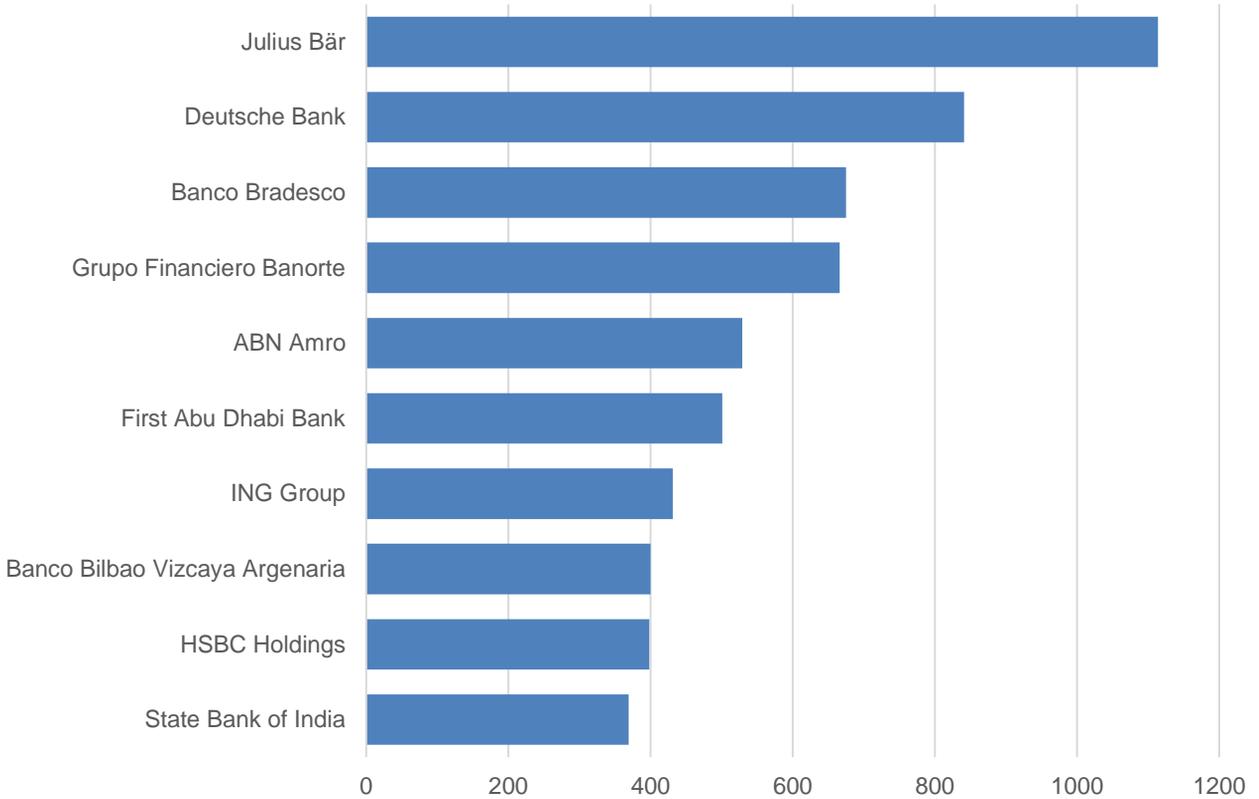




# Julius Baer focuses on Peace, Justice, and Strong Institutions



## SDG 16

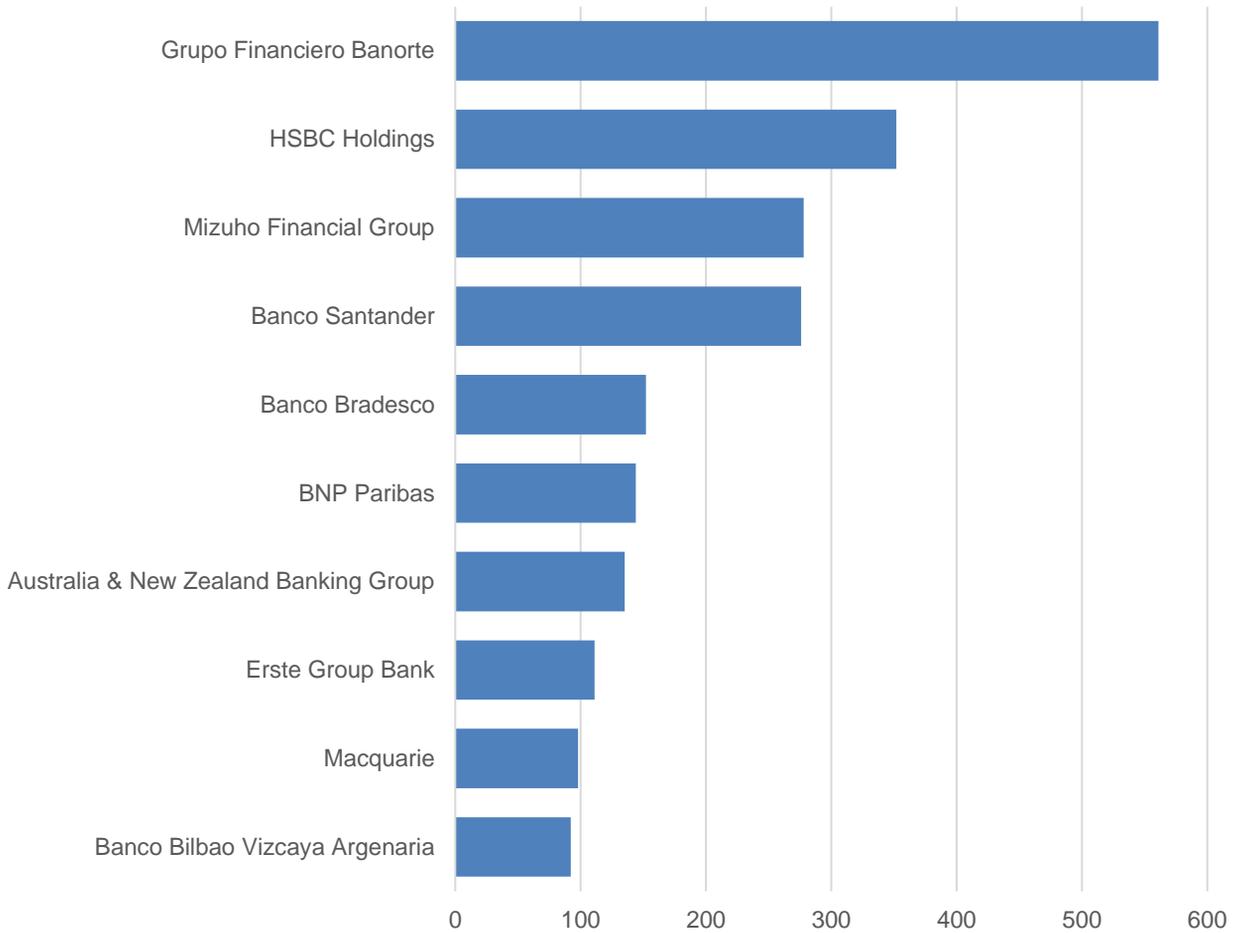


<b>Governance &amp; Risk Committee</b>	<ul style="list-style-type: none"> <li>• Ensuring that the requirements for proper compliance and the promotion of an adequate compliance/conduct culture and organisation are given the necessary attention</li> <li>• Assessing the Group's exposure to compliance/conduct issues as well as the Compliance Framework and related projects to address such matters, in particular those relating to anti-money-laundering and know-your-customer, client on-boarding, monitoring and off-boarding, politically exposed persons, economic and trade sanctions, anti-bribery and anti-corruption as well as client tax compliance</li> <li>• Developing and upholding principles of corporate governance for the Company and the Group</li> <li>• Authorising certain market, credit and financial activities taking into consideration the respective risk parameters</li> <li>• Ensuring that the standards and methodologies for risk control which are employed to comply with the principle and risk profile adopted by the BoD and other bodies</li> </ul>
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# Julius Bär



# Banorte is in the lead on partnerships



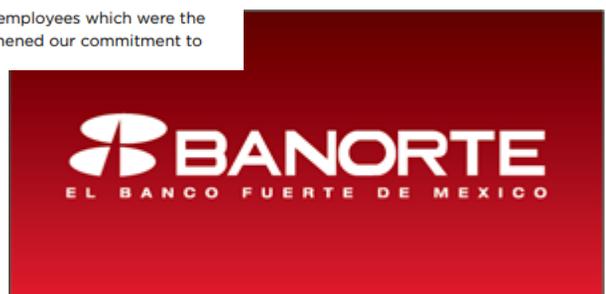
### Awareness-building and communication

Topic	Target audience	Number of employees	Hours of Training
Monthly communiqués on cases of socioenvironmental risk	Sustainability Champions	98	11

### Sustainability Week

We held our third Sustainability Week from December 13 to 17, 2021, by virtual media. This year we decided to organize it in partnership with Tecnológico de Monterrey.

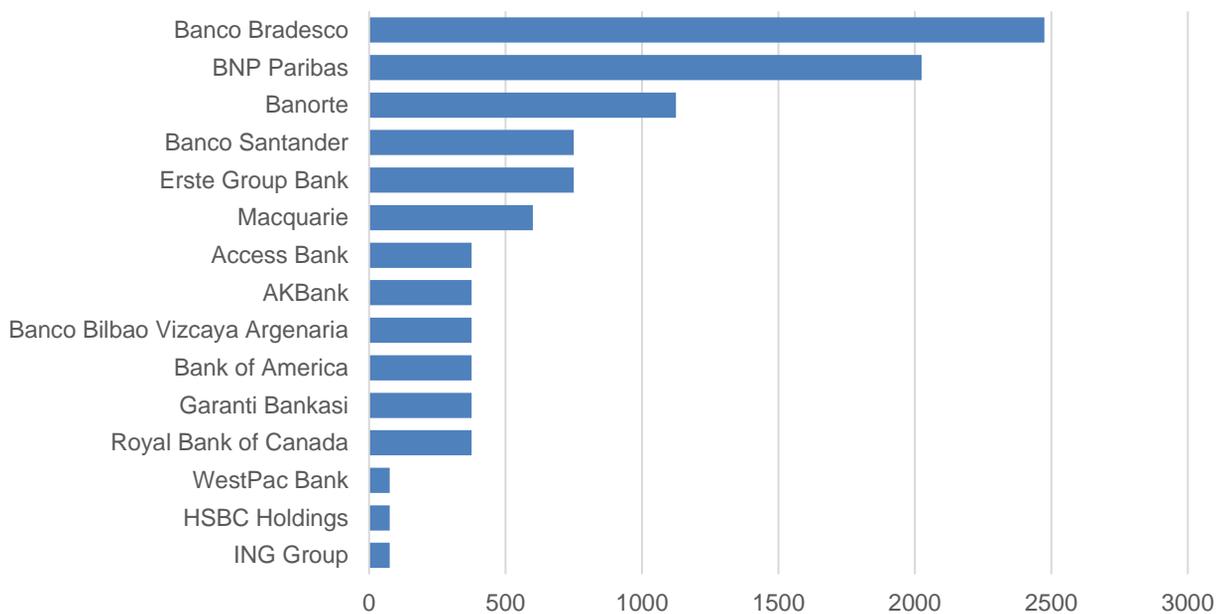
With this new partner we were able to expand the scope of the events beyond our employees which were the audience in previous years. Open Sustainability Week to more stakeholders strengthened our commitment to the Sustainable Development Goals.



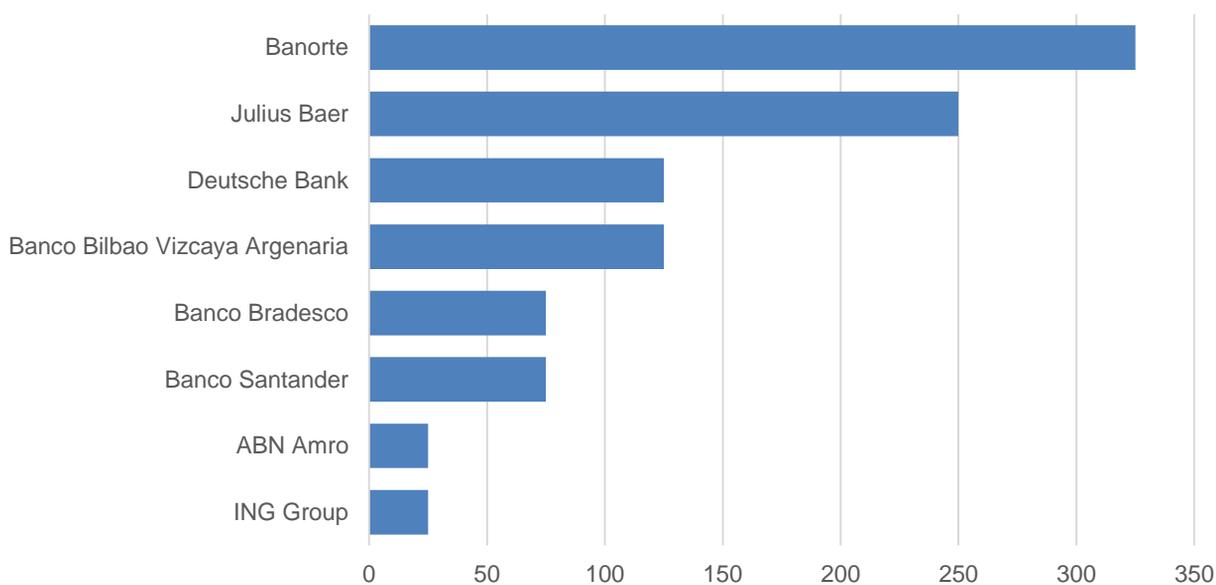


## Bradesco leads in Part 1 scoring, but Banorte pulls ahead in Part 2.

### Part 1 Scoring



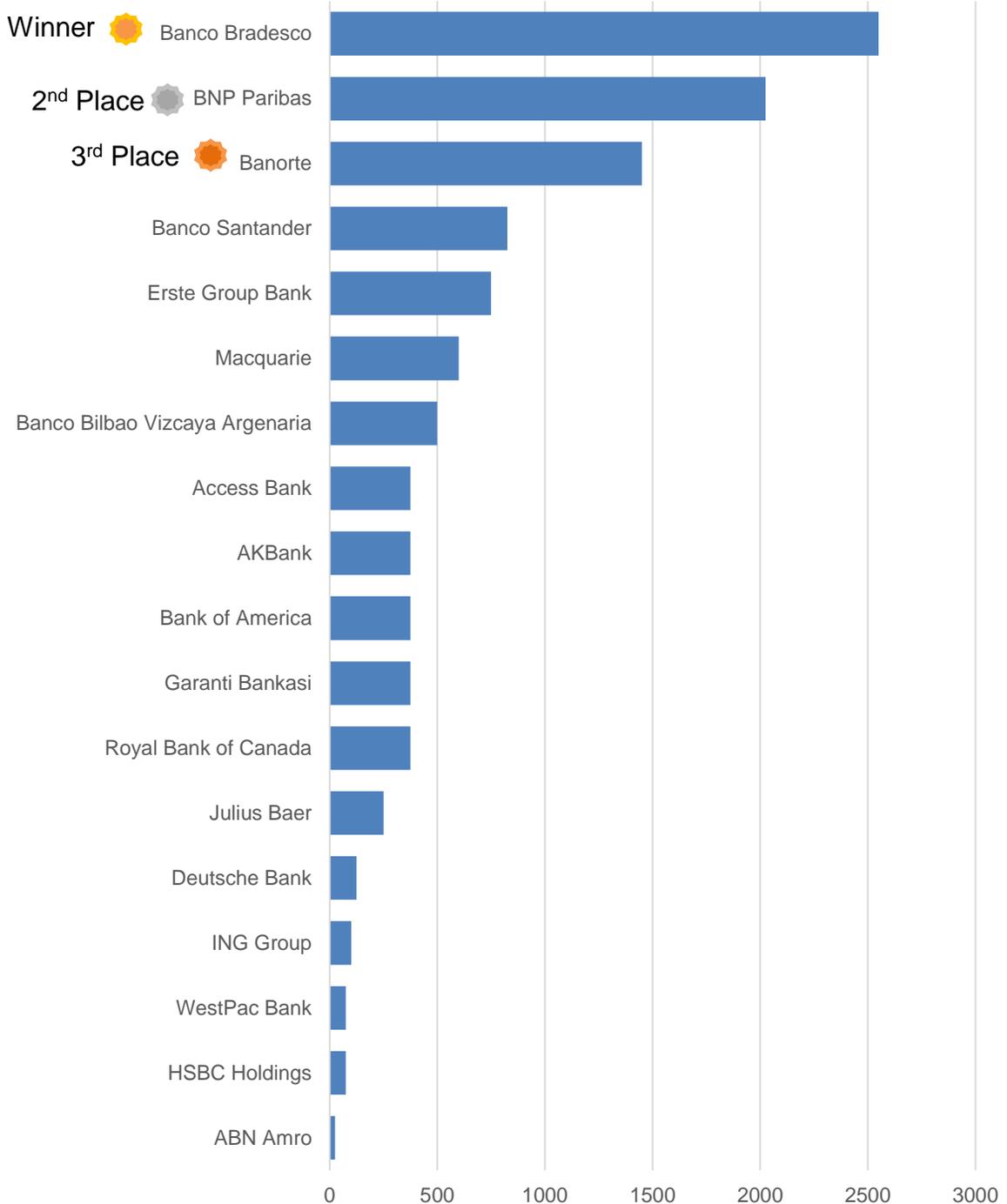
### Part 2 Scoring



**Banco Bradesco is the winner with 2,550 points. BNP Paribas takes second with 2,025. Banorte is third with 1,450.**



### Final scoring



# Companies Analyzed for the SCR500



3M	Akzo Nobel	Astral Foods
AB Inbev	Alcoa	Atlas Copco
ABB	Alibaba	Attacq
Abbott Laboratories	Allianz	Audi AG
AbbVie	Allstate	Australia & New Zealand Banking Group
ABN Amro	Alphabet (Google)	Austrian Post
Accenture	Amadeus IT Group	Aviva
Access Bank	Amazon	Avnet
Adidas	AMD	Avon Products
Aditya Birla Group	America Movil	AXA
Adobe	American Airlines Group	B3
Advanced Card Systems	American Express	Banco Bilbao Vizcaya Argenaria
Adyen	AmerisourceBergen	Banco Bradesco
Aegon	Amgen	Banco Santander
Aeon	Andritz AG	Banco Security
Aetna	Apple	Bank Mandiri
Agilent Technologies	Applied Materials	Bank of America
Agility	Arcelik	Bank of Montreal
Ahold Delhaize	ArcelorMittal	Bank of Nova Scotia
AIA Group	Arconic	Banpu
AIG	Arrow Electronics	Barclays
Air Canada	Asahi Glass	Barloworld
Air France	Aselsan	BASF
Air India	Asenav	Baxter
Air Liquide	ASML	Bayer
Air New Zealand	Aspen Pharmacare	BB&T
Airbus Group	Assicurazioni Generali	BCE
Akamai	Associated British Foods	
AKBank	Astra Zeneca	

# Companies Analyzed for the SCR500



Danone	Electronic Arts	Fluor
DebeKa	Emerson Electric	Flutter Entertainment
Deere	Emirates Group	Ford Motor
Delivery Hero	Empresas Copec	Ford Otosan
Dell	Enbridge	Formosa
Delta Air Lines	Enel	Foschini
Delta Corporation (India)	Enel Americas	Freddie Mac
Delta Corporation Limited (Zimbabwe)	Energizer Holdings	Fresenius
Dendra Systems	Engie	Fresenius Medical Care
Denso	ENI	Fujitsu
Deutsche Bahn	Enka Insaat	Garanti Bankasi
Deutsche Bank	Equinix	Geberit
Deutsche Boerse	Eregli Demir	General Electric
Deutsche Post	Erste Group Bank	General Mills
Deutsche Telekom	Eskom	General Motors
Deutsche Wohnen	EssilorLuxottica	Genting Malaysia Berhad
Diageo	Estee Lauder	George Weston
Disney	Etisalat	Gerdau
Distell	Evonik Industries	Gildan
DNB	Expedia	GlaxoSmithKline
Dole Food	Express Scripts Holding	Glencore
Dongfeng Motor Group	Facebook	Goldman Sachs
E.ON	Fannie Mae	Greenbay Properties
East Japan Railway	FedEx	Grindrod Limited
Ebay	Femsa	Grupo Bimbo
Ecobank Ghana	Fifth Third	Grupo Financiero Banorte
Ecolab	First Abu Dhabi Bank	
Electricite de France	First Group (Greyhound)	
Electrolux	Flextronics International	

# Companies Analyzed for the SCR500



Grupo Televisa	Ikea	Julius Bär
H&M Hennes & Mauritz	Imperial Brands	Kao
Hankook Tire	Inditex	KBC Group
Hannover Re	Infineon	KDDI
HanseMerkur	Infosys	Kering
Haseko	ING Group	Kikkoman
HCL	Ingersoll Rand	Kimberly-Clark
HDFC	Innolux	Kirin
HeidelbergCement	Inpex	Koc Holding
Heineken Holding	Intel	Kone
Henkel	Intercontinental	Kraft-Heinz
Herbalife	Exchange	Kroger
Hermes	International Paper	LafargeHolcim
Hershey	Intesa Sanpaolo	LATAM Airlines
Hindustan Petroleum	Intuit	Legrand
Hindustan Unilever	IS Bankasi	Liberty Mutual Insurance Group
Hitachi	Isdemir	Liberty Two Degrees
Home Depot	Itau Unibanco Holding	Linde
Honda Motor	ITC	Live Nation
Honeywell International	Itochu	Lloyds Banking Group
Hormel	Japan Post Holdings	LM Ericsson
HP	Japan Tobacco	Lockheed Martin
HSBC Holdings	Jardine Matheson	London Stock Exchange
Humana	JBS	Lufthansa Group
Hyflux	Jet Blue	LVMH
Iberdrola	JM Smucker	LvOreal
IBM	Johnson & Johnson	Macquarie
Iceland Air	Jollibee Foods	
Ichthion	JP Morgan Chase	

# Companies Analyzed for the SCR500



Macy's	National Bank of Kuwait	Pegatron
Maersk Group	National Commercial	PepsiCo
Mahindra and Mahindra	Bank	Pernod Ricard
Marubeni	National Grid	Petrobras
Mattel	Nationwide	Peugeot
McDonald's	NEC	Pfizer
McKesson	Nestle	Philip Morris
Medtronic	Netflix	PLDT
Merck	Nichirei	PNC Financial
MetLife	Nike	Porr AG
Metro	Nintendo	Porsche SE
Michelin	Nissan Motor	Praxair
Microsoft	Noble Group	Principal Financial Group
Midea Group	Nokia	Procter & Gamble
Mitsubishi Electric	Nordea	Prologis
Mizuho Financial Group	Norfolk & Southern	Prosus
Molina Healthcare	Northrop Gruman	Prudential
Mondelez International	Novartis	Prudential Financial
Mondi	Novo Nordisk	Publix Super Markets
Monsanto	Novozymes	Qantas
Morgan Stanley	NTT DoCoMo	QNB Finansbank
MTN Group	Nvidia Corp.	QNB Group
MTR Corp	NXP Semiconductors	Quanta Computer
MTU Aero Engines	OMV AG	Raiffeisen
Munich Re Group	Oracle	Ralph Lauren
Nan Ya Plastics	Orascom	Randstad Holding
NASDAQ	Otto Group	RBS
Naspers	Panasonic	
National Australia Bank	Parmalat	

# Companies Analyzed for the SCR500



Reckitt Benckiser	Schneider Electric	Swatch Group
Reliance Industries	Shandong Weiqiao	Swedbank
RELX Group	Pioneering Group	Swire Pacific
Remgro	Shire	Swiss Re
Renault	Shoprite	Symantec
Restaurant Brands	Siemens	Sysco
Rio Tinto Group	Singapore	Taiwan Semiconductor
Roche Group	Telecommunications	Manufacturing
Royal Bank of Canada	Sinopec Group	Takeda Pharmaceutical
Royal Dutch Shell	Sisecam	Talanx
Royal Philips	SoftBank Group	Tanzania Breweries
RWE	Sojitz	Target
Ryanair	Sompo Holdings	Tata Motors
SABIC	Sonova	Tata Steel
Safaricom	Sony	Teijin
Safran	Sprint	Telefonica
Sainsbury	Stanbic	Telekom Austria AG
Saint-Gobain	Standard Bank Group	Telenor
Salesforce	Limited	Telstra
Sampo	Standard Chartered	Tenaga Nasional
Samsung	Standard Life	Tenaris
Sands	Staples	Terumo
Sanofi	Starbucks	Tesco
SAP	State Bank of India	Tesla
Sasa Polyester	State Street	Texas Instruments
Sasol	Statoil	Time Warner
Saudi Telecom Company	Steinhoff International	TJX
Sberbank	STMicroelectronics	Tofas Oto
Scania	Strabag SE	
	Svenska	

## Companies Analyzed for the SCR500



Tokai Carbon	Verbund AG	Wolseley
Top Glove	Verizon	Woolworths
Toronto-Dominion Bank	Vietnam Dairy Products	WPP
Total	Vinci	Xiaomi
Toyota Motor	Vingroup	YapiKredi
Trafigura Group	Visa	Yum!Brands
Tsogo Sun	Vivendi	Zeder Investments
Tupras	VMWare	Zurich Insurance Group
Turk Telekom	Vodacom	
Turkcell	Vodafone Group	
Turkish Airlines	Voestalpine AG	
Twenty-First Century Fox	Volkswagen	
Tyson Foods	Volvo	
UBS Group	Vonovia	
Ultrapar Participacoes	Wacker Chemie	
UltraTech	Walgreens Boots	
UniCredit Group	Alliance	
Unilever	Walmart	
United Continental Holdings	Walmex	
United Technologies	Wells Fargo	
UnitedHealth Group	Wesfarmers	
UPS	Westpac Bank	
US Bancorp	WH Group	
US Foods Holding	Whirlpool	
Vale	Wienerberger AG	
Valeo	Williams	
	Wilmar International	



## Warnings Regarding Financial Returns

**The purpose of this booklet is to solicit your commitment to and involvement in the United Nations Sustainable Development Goals. We believe that humanity must create a large community of interest dedicated to changing human behavior to live in harmony with this small planet.**

One of the ways you can show your commitment is to invest in companies that are themselves operating in sustainable ways. We believe investment is a powerful tool that can send a powerful positive message to the corporations the shares of which we include in our index and a powerful negative message to the corporations the shares of which we do not include.

We have developed a unique approach that guides which shares we include in our index and which shares we do not include. It is NOT the approach that investors typically take. Specifically, we require that the company commitments in its legally binding regulatory reports to pursuing one of more of the Sustainable Development Goals. This limits the universe of available candidates. For example, in the litigious United States, some good companies, with strong commitments to the SDG's, do not discuss their commitment in their regulatory filings. They are excluded from our index.

The conventional wisdom in investing is that restricting the universe of available investments will reduce the returns available to investors. That wisdom may be true, but we believe it is not. We are making a bet, with your money, that companies that are committed to sustainable business practices will produce larger returns than companies that are not so committed.

Additionally, we have had one year of strong results in the performance of the index that we constructed during the year. Please do not assume that we will have strong results again. Our investment team is very experienced and wise from being humbled by the market again and again. Past results are no assurance of future results. This index is relatively new and unproven. It is therefore risky.

Some of this material has been prepared by Princeton Capital Management, LLC ("PrinCap"). This document is for information and illustrative purposes only and does not purport to show actual results. It is not, and should not be regarded as investment advice or as a recommendation regarding any particular security or course of action, nor any attempt to solicit investment services in any jurisdiction where such offering has not been registered.

The UNGSII strategy performance figures set forth are hypothetical or simulated. As such, such figures do not represent actual trading, are not necessarily indicative of future results, have certain limitations and may not reflect the impact that material economic and market factors might have had on UNGSII results if PrinCap were actually managing clients' money. For example, such results may have under- or over-compensated for the impact, if any, of material economic and market factors, such as lack of liquidity.

In addition, such figures are time-weighted and annualized, include realized and unrealized gains and losses and are gross and not net of management fees or commission charges.

No guarantee is made that the UNGSII Strategy will be successful; no representation is made that the UNGSII Strategy will or is likely to achieve the results set forth above; and investors should be aware that past performance, and simulated performance in particular, is no guarantee of future results. An investment based upon the UNGSII is speculative and involves risk, actual performance may be lower or higher than the performance data quoted, and investors may lose capital.



## **ALFRED R. BERKELEY, III**

Al resumed the Chairmanship of the Firm in January 2013, a position previously held from 1996 to 2006. Al was President of NASDAQ Stock Market, Inc. from 1996 until 2000 and was Vice-Chairman until 2003. Prior to returning to Princeton Capital Management, Al was Chairman of Pipeline Financial Group, Inc. Earlier in his career, as a General Partner of Alex. Brown & Sons, Al served as a software analyst where he was designated a First Team All American analyst. He has served as a Director of a number of companies, institutions and non-profit organizations including Safeguard Scientifics, Comshare, Cognos, Webex Communications, ACI Worldwide, Realpage, Edgar Online, The Nature Conservancy, The World Economic Forum USA and Johns Hopkins University among others. Al has also served on a number of government advisory panels: The President's National Infrastructure Advisory Council, U.S. Department of Homeland Security Committee on Homeland Advisory System, Committees on Scientific Communications and National Security, Monetary Authority of Singapore's International Advisory Council, among others. He has testified before Congressional committees (Joint Economic Committee, House Homeland Security Committee, and House Permanent Select Committee on Intelligence). Al took his bachelor's degree from the University of Virginia and his MBA from the Wharton School and served as an officer in the US Air Force and the US Air Force Reserve.



## **JOSEPH A. CAJIGAL**

Joe is the Chief Executive Officer of Princeton Capital Management' and is responsible for managing equity and balanced portfolios for clients. Previously, Joe was founder of Hudson Canyon Investment Counselors. Previously he was the Executive Officer responsible for the management of Fiduciary Trust Company International's ("Fiduciary") domestic mutual fund company, its non-U.S. mutual fund company and its registered broker dealer. During his tenure, he served as a member of Fiduciary's Management committee, Fiduciary's Executive committee, Division Executive for the Investors Services Division, President of its tax planning and compliance subsidiary and President of its New York Stock Exchange registered broker-dealer. Joe holds a BA degree in Mathematical Economics from St. Peter's College.



## **RACHELINE MALTESE**

Racheline Maltese works as a researcher at Media Tenor International focusing on the media portrayal of economic and political issues; she has been with the company since 2002. Her academic and professional background includes a journalism degree from The George Washington University and a stint in the Computer Assisted Reporting unit of the Associated Press. In addition to her work with MTI, she is widely published on pop-culture topics, and her work has appeared in media outlets like Salon as well as in academic texts from McFarland. She is based in New York City.



## **ROLAND SCHATZ**

Roland Schatz is the Founder and CEO of InnoVatio Publishing and Media Tenor International in Zurich/Switzerland. He is the founder of the UNGSII foundation in support of the United Nation's Sustainable Development Goals. For the last 30 years he has been devoted to implementing social change. In 2008 he launched, together with Prince Ghazi of Jordan, the C1 One World Dialogue foundation to improve Inter-Faith-Dialogue. The InnoVatio network of academics, entrepreneurs and media leaders initiated the Global Sustainability Index. Schatz teaches Perception Change and hosts masterclasses on 'Unlearning Intolerance' together with UN Academic Impact.



## **MATTHIAS VOLLBRACHT**

Matthias Vollbracht is the Director of Business Research at Media Tenor International in Vienna/Austria, Managing Director of Awareness Metrics, a platform for reputation risk and investment signal solutions and Head of Research of UNGSII foundation. His research focuses on the impact of media on public opinion, stakeholder groups and the reputation of institutions and individuals. Furthermore, he explores the influence of media on asset prices and economic behavior, like investor and consumer confidence. Matthias Vollbracht has been working for major international clients with focus on reputation management, agenda-setting, target systems, crisis communication, management reputation, financial communication, and CSR. He has developed reputation insurance solutions based on empirical risk assessment. He holds degree in economics from the University of Mainz and a Ph.D. in media science from the University of Stuttgart-Hohenheim and has worked as a business journalist.



## Opportunities for impactful collaboration:

- 1) Contract the UNGSII Foundation to give access to additional data, or to have your portfolio analyzed with the same standards.
- 2) Send your asset managers to the Senior Executive Masterclass and become a certified SDG Expert
- 3) Join the UNGSII Best Practice Annual Global Goals Conference and Award Shows
- 4) Collaborate with UNGSII and the GCH Foundations to expand the SDG School Network platform reaching millions of kids per week in 70 countries and aspiring to reach 100 million kids per week across 193 countries by 2020.



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